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# OVERVIEW

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## THE PURPOSE OF THIS COURSE

This training manual is structured to help Indian tribes and tribally designated housing entities (TDHEs) through the nuts-and-bolts of developing a workable, effective Indian Housing Plan (IHP), as required under the Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA). Specific emphasis is placed on the requirements for submitting an IHP to HUD, including an in-depth discussion of the One Year Plan components.

## WHAT THIS COURSE COVERS

This course walks through the entire IHP planning process step-by-step – from understanding what an IHP should include, to gathering the right information, writing the IHP, and implementing it. Along the way, the course provides:

- ☐ The specific IHP requirements of NAHASDA.
- ☐ Methods for effectively coordinating the IHP process.
- ☐ Tips for how to collect and analyze the right data.
- ☐ Guidance for transforming the IHP into an operating program.
- ☐ Tips on how to measure the effectiveness of the IHP.

## ORGANIZATION OF THIS BOOK




This book is designed to accompany a two-day training course, and to serve as a resource once the course is completed. It touches upon all of the information covered over the two days, and adds extra detail. The accompanying NAHASDA Reference Manual includes a copy of the NAHASDA final regulations, NAHASDA statute, NAHASDA Guidance Bulletins, PIH Notices, and additional planning resources. Readers are encouraged to become familiar with the NAHASDA regulations and plan instructions as these regulations and instructions are the primary guide to developing an IHP.

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## NOTES

## Overview

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Throughout the book, you'll see boxes with a tip () , a caution () or a reminder ().<sup>1</sup> These boxes highlight important points to remember -- either as helpful hints or cautionary warnings.

Finally, every page includes space for note taking.

### Chapter-by-Chapter

A description of each chapter is below.

- ☐ **Chapter 1: The Indian Housing Plan.** Highlights the NAHASDA Indian Housing Plan history and requirements.
- ☐ **Chapter 2: Organizing the IHP Development Process.** Discusses how to plan and coordinate the IHP process including who to involve and how to keep the process organized.
- ☐ **Chapter 3: Developing an Effective IHP.** Covers the key steps recipients should take when developing their IHP including, identifying housing needs, resources, and possible solutions. In addition, this chapter also focuses on the importance of accurate analysis in understanding these needs and setting priorities.
- ☐ **Chapter 4: Writing the Five Year Plan.** Describes the different elements that should be included when writing the five year portion of the IHP, including a mission statement, goals and objectives, and an activities plan.
- ☐ **Chapter 5: Writing the One Year Plan.** Describes how to develop goals and objectives that link annual funding to accomplishments. It also helps a tribe to describe current housing conditions and needs, along with what financial and affordable housing resources are available to meet those needs.

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<sup>1</sup> Note: All graphics within this training manual with the exception of the keys graphic are © 1994, RT Graphics, NM.

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## NOTES

## **Overview**

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- ❑ **Chapter 6: Submitting and Implementing the Plan.** Discusses the options for submitting the IHP to HUD, who submits it, and the timeline for submitting it. In addition, this chapter describes the requirements for submitting waivers, amendments, model activities, proposals to provide assistance to non low-income Indian families, and ways to measure the effectiveness of the IHP. This chapter also provides a brief overview of HUD's policies and procedures for reviewing an individual IHP and the appeals process.

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## **NOTES**







# CHAPTER 1: THE INDIAN HOUSING PLAN

This chapter covers the following basic information:

- ☐ What the Indian Housing Plan (IHP) is.
- ☐ History of the IHP under NAHASDA.
- ☐ How the IHP relates to the IHBG formula.
- ☐ Key components of the IHP.
- ☐ Useful references/resources relating to planning.

## WHAT IS AN INDIAN HOUSING PLAN?

- ☐ An Indian Housing Plan (IHP) is a roadmap for responding to a tribe's housing needs in an ever-changing environment. The IHP will help ensure that responsibilities are met, opportunities are identified, and limited resources are put to the best uses. In effect, the process of writing an IHP will:
  - Identify and address a tribe's most critical housing needs.
  - Enable a recipient to anticipate and effectively cope with future housing needs.
  - Allow a recipient to be prepared with responses and alternatives that reflect the changing needs of the tribal community.
  - Enable a recipient to think realistically about available resources both in the short-term and the long-term.
- ☐ The IHP submission and review requirements can be found in Sections 102 and 103 of the NAHASDA statute and Subpart C of the regulations.

## HISTORY OF THE IHP UNDER NAHASDA

- ☐ The enactment of the Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA) transformed the way HUD's Office of Native American Programs and tribes do business. NAHASDA recognizes the tribes' right to self-determination and self-governance, offering the tribes greater flexibility in planning, implementing, and administering their own unique housing programs. Unlike in the past, recipients are now

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## NOTES

## ***Chapter 1: The Indian Housing Plan***

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responsible for the design and implementation of housing assistance programs for their tribal members.

- ❑ Under the 1937 program, there was a strong relationship between the Indian Housing Authorities (IHA) and HUD. NAHASDA changed all of this.
  - HUD's role now is to act more as a funding agency and a monitor.
    - ⇒ HUD provides formula funding to a tribe (i.e., the Indian Housing Block Grant [IHBG]).
    - ⇒ HUD then monitors the recipient's accomplishments based on the activities outlined in its IHP.
- ❑ As stated above, most existing Indian housing assistance programs and grants were consolidated into a single Indian Housing Block Grant (IHBG) Program where eligible recipients receive a formula share of annual appropriations made by Congress. To receive IHBG funding, however, a recipient must submit an IHP annually, as required in Section 102 of the NAHASDA statute and 1000.201 of the NAHASDA regulations.
  - The IHP was created to be a planning template to help recipients articulate their current and future needs and resources in order to improve housing conditions in their areas.
  - The only time a recipient would not have to submit an IHP is when a waiver is granted in accordance with Section 101(b)(2) of NAHASDA. (See Chapter 7 for more information on waivers.)

### **KEY CONCEPTS WITH THE IHP**

- ❑ When describing the IHP and what it is to be used for, there are three key concepts that come to mind. These are collaboration, comprehensive planning, and locally driven.
  - Collaboration in the development of the IHP. The negotiated rule-making process, as described in Section 106 of NAHASDA, was used for developing the final rule.
    - ⇒ This forum was also used for the development of the requirements of the IHP.

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## **NOTES**

## ***Chapter 1: The Indian Housing Plan***

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- ⇒ There was significant involvement and consultation with tribal representatives as to what should be included in an IHP.
- ⇒ This required planning process also encouraged collaboration among tribal groups and individuals.
- ⇒ HUD's commitment on this collaborative effort extends even to changes to the IHP.
- ⇒ HUD has agreed to consult with Indian tribes prior to making any substantial changes to the IHP.
- Comprehensive planning. The IHP is primarily a planning document even though it also serves as a means for HUD to provide funding to recipients under NAHASDA.
  - ⇒ Recipients should take a comprehensive approach to planning.
  - ⇒ Recipients should not limit their planning process only to those housing efforts/activities funded under NAHASDA.
- Locally-driven. The IHP should represent local needs and goals and should include input from tribal members.
  - ⇒ While there are certain required IHP elements, the information in those elements is unique to all recipients.
  - ⇒ IHPs will vary from recipient to recipient depending upon the individual needs and capabilities of each tribe.
  - ⇒ Community involvement and participation in the planning process is strongly encouraged.
  - ⇒ Recipients need to develop local partnerships with public, private, and nonprofit entities that can contribute to the successful implementation of its IHP.

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## **NOTES**

### **KEY TERMS WITH THE IHP**

When describing the IHP and its concepts, there are several key terms to keep in mind. A full listing of key terms is included in the Glossary, which is an attachment to this chapter.

### **RELATIONSHIP BETWEEN THE IHBG FORMULA AND THE IHP**

- ❑ Although a recipient must submit a compliant IHP to their Area ONAP before IHBG funds are released, it is important to understand that there is no relationship between the components of the formula that are used to determine a recipient's IHBG allocation and the activities the recipient proposes in their Indian Housing Plan.
  - Formula. The purpose of the IHBG formula is to provide the means for an equitable and fair distribution among eligible recipients of the funds Congress appropriates for NAHASDA. The IHBG formula components do not dictate or limit how the recipient can use its IHBG funds. The IHBG formula consists of the following components:
    - ⇒ Formula current assisted housing stock (FCAS).
    - ⇒ Need.
  - IHP. The IHP is simply the planning document for the recipient required by HUD prior to awarding any NAHASDA funds to an eligible recipient. The IHP spells out how the recipient intends to use the funds they receive under their IHBG.

### **COMPONENTS OF AN IHP**

- ❑ An effective IHP looks not only at the short-term goals and objectives, but also the long-term goals and objectives. Thus, the IHP consists of two main parts:
  - A Five Year Plan. This Plan covers a fixed five-year period. It provides a vision and strategy for the future and sets the stage for the rest of the planning document. In the Five Year Plan, a recipient will craft its mission statement, formulate long-term goals and objectives, and describe the ways in which it will carry out its mission and

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## **NOTES**

## ***Chapter 1: The Indian Housing Plan***

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accomplish its goals. The elements of the Five Year Plan are discussed in further detail in Chapter 4 of this manual and consist of:

- ⇒ Mission Statement.
- ⇒ Goals and Objectives.
- ⇒ Activities Plan.
- A One Year Plan. This Plan is submitted every year and funnels information from the Five Year Plan into a plan of action for the use of that year's block grant allocation. In the One Year Plan, a recipient will describe its existing housing stock, assess its housing needs, and determine how it will allocate resources. The One Year Plan consists of seven main sections, which include three data tables. These sections are discussed in further detail in Chapter 5 of this manual.
  - ⇒ The main sections are:
    - Goals and Objectives.
    - Statement of Needs.
    - Financial Resources.
    - Affordable Housing Resources.
    - Performance Objectives.
    - Other Submission Items.
    - Certifications.
  - ⇒ The three data tables are:
    - Statement of Needs (Table 1).
    - Financial Resources (Table 2).

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## ***NOTES***

## Chapter 1: The Indian Housing Plan

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- Housing Profile (Table 3).

☐ Additional elements of the IHP are:


- Cover Sheet. The cover sheet provides HUD with the basic information on the recipient, such as the contact person and telephone number. If the IHP is prepared by a TDHE rather than a tribe, the same information is requested for the TDHE.
- Table of Contents. This form lists the page number for each IHP item.

### ELIGIBLE ACTIVITIES

☐ Many kinds of activities are eligible for IHBG funding and can be placed in various sections of the One Year Plan. When deciding on the activities a recipient will propose to undertake with IHBG funds, keep in mind the following eligible categories.

- Housing assistance (work on previous IHA units).
- Development (acquisition, construction, rehabilitation plus related activities).
- Housing services (resident services and other activities).
- Housing management services (such as work specs, loan processing, inspections).
- Crime prevention and safety (protect residents of affordable housing from crime).
- Model activities (approved by HUD).
- Over-income activities (approved by HUD).

☐ More information on the specific types of activities that fit within each of these categories is found in Attachment 3-1 and is further discussed in Chapter 5.

**Warning!**

It is critical to remember that model activities must be specifically approved by the Secretary. (Refer to the Other Submission Items section of the One Year Plan in Chapter 5 for more information.)

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### NOTES

## **LIST OF ATTACHMENTS**

Attachment 1-1: Glossary

Attachment 1-2: IHP Form 52735

Attachment 1-3: Eligible Activities

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## **NOTES**





## **Attachment 1-1: Glossary**



## ATTACHMENT 1-1: GLOSSARY

**1937 Act:** The United States Housing Act of 1937, as amended. The Act provided financial and technical assistance to IHAs for the development, operation, and management of housing for low-income Native American families residing on Indian reservations and in other Native American areas.

**Affordable housing activities:** Activities identified in Section 202 of NAHASDA (Indian housing assistance, development, housing services, housing management services, crime prevention and safety activities, and model activities).

**Annual contributions contract (ACC):** A contract under the 1937 Act between HUD and an IHA containing the terms and conditions under which HUD assisted the IHA in providing decent, safe and sanitary housing for low-income families.

**Annual income** has one of the following meanings, as determined by the Indian tribe:

- (1) "Annual income" as defined by HUD's Section 8 programs in 24 CFR part 5, subpart F (except when determining the income of a homebuyer for an owner-occupied rehabilitation project, the value of the homeowner's principal residence may be excluded from the calculation of Net Family assets); or
- (2) Annual income as reported under the Census long-form for the most recent available decennial Census. This definition includes:
  - (i) Wages, salaries, tips, commissions, etc.;
  - (ii) Self-employment income;
  - (iii) Farm self-employment income;
  - (iv) Interest, dividends, net rental income, or income from estates or trusts;
  - (v) Social security or railroad retirement;
  - (vi) Supplemental Security Income, Aid to Families with Dependent Children, or other public assistance or public welfare programs;
  - (vii) Retirement, survivor, or disability pensions; and
  - (viii) Any other sources of income received regularly, including Veterans' (VA) payments, unemployment compensation, and alimony; or
- (3) Adjusted gross income as defined for purposes of reporting under Internal Revenue Service (IRS) Form 1040 series for individual Federal annual income tax purposes.

**Area Office:** The designated Office of Native American Programs having responsibility for delivery of HUD resources and services to a specific and identified group of Indian tribes or areas.

**BIA:** Bureau of Indian Affairs in the Department of the Interior.

**Board of Commissioners:** Governing body of a TDHE that is appointed in accordance with tribal ordinance or state law.

**CDBG:** SEE INDIAN COMMUNITY DEVELOPMENT BLOCK GRANT.

**College housing:** The tribe/TDHE may adopt the following definition or may develop its own definition. College housing is housing; the primary purpose of which is to provide housing for students who are attending post high school educational facilities.

**Comprehensive Grant Program (CGP):** An entitlement program under the 1937 Housing Act that provided funds to housing authorities to modernize low-income rental and homeownership units. CGP provided assistance to housing authorities with 250 or more dwelling units under management.

**Comprehensive Improvement Assistance Program (CIAP):** A competitive grant program under the 1937 Housing Act which provided funds to housing authorities to modernize low-income rental and homeownership units. CIAP provided assistance to housing authorities with 249 or less dwelling units under management.

**Conversion:** Change of dwelling units from one program to another - i.e., Low Rent to Mutual Help.

**Cost Burden:** Payments for loan principal, interest, taxes and insurance (PITI) that exceed 30 percent of an individual's gross monthly income.

**Demolition:** The razing in whole, or in part, of one or more permanent buildings of an Indian housing project.

**Development:** The acquisition, new construction, reconstruction, or moderate or substantial rehabilitation of affordable housing, which may include real property acquisition, site improvement, development of utilities services, conversion, demolition, financing, administration and planning, and other related activities.

**Dilapidated housing:** The tribe/TDHE may adopt the following definition or may develop its own. A dilapidated housing unit is a unit that does not provide safe and adequate shelter, and in its present condition endangers the health, safety or well-being of a family; or a unit that has one or more critical defects, or a combination of intermediate defects in sufficient number or extent to require considerable repair or rebuilding. The defects may involve original construction or they may result from continued neglect of repair or from serious damage to the structure.

**Disposition:** The conveyance or other transfer by sale or other transaction of any interest in the real estate of an Indian housing development.

**Elderly family:** A family whose head (or his or her spouse) is an elderly person (at least 62 years of age). This includes two or more elderly persons living together, and one or more such persons living with one or more persons determined under the Indian housing plan for the agency to be essential to their care or well-being.

**Family:** The term family includes, but is not limited to, a family with or without children, an elderly family, a near-elderly family, a disabled family, a single person, as determined by the Indian tribe.

**Fannie Mae:** Federal National Mortgage Association. A federally-chartered, stockholder-owned corporation which provides a secondary market for both conventional mortgages and mortgages insured by Federal Housing Administration (FHA) and guaranteed by the Veterans Administration (VA).

**Federal Home Loan Bank:** This system is a privately capitalized, cooperative government-sponsored enterprise created by Congress to support residential mortgage lending and related community development lending by its member-shareholders.

**Federally Recognized Tribe:** Any Indian tribe, band, nation or other organized group or community of Indians, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act, that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians pursuant to the Indian Self-determination and Education Assistance Act of 1975.

**Freddie Mac:** Federal Home Loan Mortgage Corporation, a federally-chartered, stockholder-owned corporation that supports the secondary market for conventional mortgages.

**HOME Program:** Home Investment Partnerships Program. A block grant program that provided grants to State and local governments and Indian tribes to help them develop and support affordable housing for low- and very low-income residents.

**Homeless family:** The tribe/TDHE may adopt the following definition or may develop its own definition. A family who is without safe, sanitary and affordable housing even though it may have temporary shelter provided by the community.

**Homeless housing:** The tribe/TDHE may adopt the following definition or may develop its own. Homeless housing is any facility, the primary purpose of which is to provide temporary or transitional shelter for the homeless in general or for specific populations of the homeless.

**HUD:** The U.S. Department of Housing and Urban Development

**ICDBG:** SEE INDIAN COMMUNITY DEVELOPMENT BLOCK GRANT.

**IHA:** SEE INDIAN HOUSING AUTHORITY.

**IHBG:** SEE INDIAN HOUSING BLOCK GRANT PROGRAM.

**IHS:** The Indian Health Service of the U.S. Department of Health and Human Services.

**Income:** SEE ANNUAL INCOME.

**Indian:** Any person who is a member of an Indian tribe.

**Indian area:** The area within which an Indian tribe or a tribally designated housing entity, as authorized by one or more Indian tribes, provides assistance under this Act for affordable housing.

**Indian Housing Authority:** An entity that is authorized to engage in or assist in the development or operation of low-income housing for Indians under the 1937 Act and is established either by: (1) exercise of the power of self-government of an Indian tribe independent of State law; or (2) operation of State law providing specifically for housing authorities for Indians, including regional housing authorities in the State of Alaska.

**Indian Housing Block Grant (IHBG) Program:** A block grant program that provides eligible recipients with a formula share of annual appropriations made by Congress. The program's objective is not only to provide housing assistance to Indian families, but also provide mechanisms to foster tribal self-determination and decision-making. To receive IHBG funds, a recipient must submit an Indian Housing Plan (IHP).

**Indian Community Development Block Grant:** A competitive grant program for which all federally-recognized tribes and Alaskan Villages are eligible to participate. The program's objective is the development of viable communities including decent housing, a suitable living environment and economic opportunities, principally for persons of low- and moderate-income.

**Indian Loan Guarantee Program:** Program authorized in Section 184 of the Housing and Community Development Act of 1992. Purpose is to provide loan guarantees that will make private financing available to Native Americans on restricted lands where no source of funding is currently available.

**Indian tribe:** Tribe that is a federally recognized tribe or a State recognized tribe.

**Low-income family:** A family whose income does not exceed 80 percent of the median income for the area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 80 percent of the median for the area on the basis of the findings of the Secretary or the agency that such variations are necessary because of prevailing levels of construction costs or unusually high or low family incomes.

**Low-Income Rent:** The rental housing program of the 1937 Act under which IHAs developed and rented housing units to low-income families.

**Median income:** The definition of median income, with respect to an Indian area, is the greater of the median income for the Indian area, which the Secretary shall determine, or the median income for the United States.

**Model Activities:** Housing activities under model programs that are designed to carry out the purposes of NAHASDA. Each model activity is reviewed on an individual basis.

**Mutual Help:** Mutual Help Homeownership Opportunity Program (under the 1937 Act) provided families an opportunity to purchase their housing unit.

**NAHASDA:** Native American Housing Assistance and Self-Determination Act of 1996.

**Near-elderly family:** The term near-elderly family means a family whose head (or his or her spouse), or whose sole member, is a near-elderly person (at least 55 years of age and less than 62 years of age). Such terms include two or more near-elderly persons living together, and one or more such persons living with one or more persons determined under the Indian housing plan for the agency to be essential to their care or well-being.

**ONAP:** Office of Native American Programs, which is the office of HUD that has been delegated authority to administer NAHASDA.

**Overcrowded conditions:** When pertaining to the IHBG formula, overcrowded means households with more than 1.01 persons per room as defined by the U.S. Decennial Census.

**Persons with disabilities:** A person who has a disability as defined in Section 223 of the Social Security Act 942 U.S.C. 423; who has a development disability as defined in Section 102 of the Developmental Disabilities Assistance and Bill of Rights Act; or who has a physical, mental or emotional impairment which is expected to be of long-continued or indefinite duration, substantially impedes his/her ability to live independently, and is of such a nature that such ability could be improved by more suitable housing conditions.

**Recipient:** An Indian tribe or the entity for one or more Indian tribes that is authorized to receive grant amounts under this Act on behalf of the tribe or tribes.

**Rent Burden:** Rental payments exceeding 30 percent of a tenant's adjusted monthly income.

**Resident Organizations:** Democratically elected resident organizations such as IHA-wide resident organization, area-wide resident organizations, single development resident organizations or resident management corporations.

**State Recognized Tribe:** Any tribe, band, nation, pueblo, village, or community that has been recognized as an Indian tribe by any States; and for which an Indian Housing Authority has, before the effective date under Section 107 of NAHASDA, entered into a contract with the Secretary pursuant to the United States Housing Act of 1937 for housing for Indian families and has received funding pursuant to such contract within the 5-year period ending upon such effective date.

**Subrecipient:** The government or other legal entity to which a sub-grant is awarded and which is accountable to the recipient for the use of the funds provided.

**Substandard housing:** The tribe/TDHE may adopt the following definition or may develop its own definition. Substandard housing is housing that is dilapidated; does not have operable indoor plumbing; does not have a usable flush toilet inside the unit for the exclusive use of a family; does not have a usable bathtub or shower inside the unit for the exclusive use of a family; does not have electricity, or has inadequate or unsafe electrical service; does not have a safe or adequate source of heat; should, but does not, have a kitchen; or has been declared unit for habitation by an agency or unit of government.

**Supportive service housing:** The tribe/TDHE may adopt the following definition or may develop its own definition. Supportive service housing is housing, including housing units and group quarters, that has a supportive environment and includes a planned supportive service component. A planned supportive service component includes services provided to residents of supportive service housing for the purpose of facilitating the independence of residents.

Examples of services include case management, medical or psychological counseling and supervision, childcare, transportation, and job training.

**TDHE:** Tribally designated housing entity. Under NAHASDA, tribes are allowed to establish TDHEs to run their housing programs. TDHEs can be existing IHAs or other entities established and designated for this purpose.

**Transitional housing:** The tribe/TDHE may adopt the following definition or may develop its own definition. Transitional housing is housing, the purpose of which is to facilitate the movement of homeless individuals and families to permanent housing within 24 months.

**Turnkey III:** The Turnkey III Homeownership program of the 1937 Act provided homeownership opportunities to eligible low-income families through a lease-purchase arrangement.

**Units needing rehabilitation:** Units which fail to meet the tribe's/TDHE's housing quality standards (HQS).



## **Attachment 1-2: IHP Form 52735**



# Indian Housing Plan

These forms meet the minimum requirements for an Indian Housing Plan (IHP) required by the United States Department of Housing and Urban Development. In addition to these minimum requirements, a tribe/ tribally designated housing entity (TDHE) may elect to prepare a more comprehensive IHP. If a tribe/TDHE elects to prepare a more comprehensive plan, the required elements of this IHP must still be submitted on the prescribed HUD forms.

# Indian Housing Plan

Under the Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA) (25 U.S.C. 4104 et seq.) HUD will provide grants, loan guarantees, and technical assistance to Indian tribes and Alaskan Native villages for the development and operation of low-income housing in Indian areas. Grants will be made to eligible recipients under the Indian Housing Block Grant Program. To be eligible for the grants, respondents must submit an Indian Housing Plan which meets the minimum requirements of the Act, consult with residents, prepare Title VI application/certification, submit performance reports, and maintain records for HUD monitoring and audit review.

Public reporting burden for this collection of information is estimated to average 120 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

HUD will ensure that the information submitted complies with the requirements of the Act, approve/disapprove the IHP, and review and monitor the IHP. Responses to this collection of information are mandatory to obtain a benefit. The information requested does not lend itself to confidentiality.

This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

# Indian Housing Plan Cover Sheet

Please read the instructions on  
back before completing this  
cover sheet

1. Name and Address of Tribe (if only one tribe)

2. Name and Address of Tribal Contact Person (if only one tribe)

Telephone Number with Area Code (if only one tribe)

3. Name and Address of Tribally Designated Housing Entity (TDHE) (if applicable)

4. Name and Address of TDHE Contact Person

Telephone Number with Area Code

5. Type of Submission

Original ☐

Amended ☐

6. Federal Fiscal Year

7. Grant Number

8. Estimated Grant Amount

9. Actual Grant Amount

10. Enter the name and address of the tribe and the name, address, and telephone number of the tribal contact person for each tribe included in this IHP.  
This information may be reported like this:

Name of Tribe

Address of Tribe

Tribal Contact Person

Address

Phone

11. Title of the Authorized Official submitting the IHP

Signature & Date:

X

**For HUD  
Use Only**

Date IHP is received by HUD: Time IHP is received by HUD:

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## Indian Housing Plan Cover Sheet Instructions

If the IHP is being submitted by a TDHE for more than one tribe, leave lines 1 and 2 blank and provide this information in line 10.

1. Enter the name and address of the tribe for whom the IHP is prepared.
2. Enter the name, telephone number, and address of the tribal contact person. The tribal contact person is the person who is best able to answer questions regarding the IHP. This information should be provided even if the IHP was prepared by a tribally designated housing entity (TDHE).
3. Complete the necessary information if the IHP is prepared by a TDHE on behalf of a tribe(s).
4. Enter the name, telephone number, and address of the TDHE contact person. The TDHE contact person is the person who is best able to answer questions regarding the IHP.
5. Check to indicate if the IHP is an original submission or an amended submission.
6. Enter the Federal fiscal year for which funding will be made available for the IHP. For example, October 1, 1997 to September 30, 1998 is fiscal year 1998.
7. Enter the HUD-assigned grant number.
8. Enter the estimated grant amount expected to be received for the 1-year plan period.
9. If the actual grant amount is not known at the time the IHP is submitted, leave the actual grant amount line blank.
10. Enter the name of the tribe and the name, telephone number, and address of the tribal contact person for each tribe included in this IHP. The tribal contact person is the person who is best able to answer questions regarding the IHP.
11. The cover sheet must be signed by an authorized official of the tribe or TDHE submitting the plan.

**For HUD use only:** The date and time the plan is received by HUD will be completed by Area Office of Native American Programs (ONAP) staff.

# Indian Housing Plan

## Table of Contents

This Table of Contents is for use by tribes/TDHEs to identify the location of the required elements of the Indian Housing Plan. For each element listed, enter the page number where the information can be found in the IHP.

	PageNumber
<b>Five Year Plan</b>	
Mission Statement .....	_____
Goals and Objectives. ....	_____
Activities Plan .....	_____
<b>One Year Plan</b>	
Goals and Objectives .....	_____
Statement of Needs .....	_____
Table 1 - Statement of Needs .....	_____
Financial Resources .....	_____
Table 2 - Financial Resources .....	_____
Table 3 - Housing Profile .....	_____
Affordable Housing Resources including a description of:	
The characteristics of the housing market. ....	_____
The structure/coordination/cooperation with other entities .....	_____
The manner in which housing needs will be addressed .....	_____
The manner in which 1937 Act housing will be protected/maintained .....	_____
Existing/anticipated homeownership/rental programs .....	_____
Existing/anticipated housing rehabilitation programs .....	_____
All other existing/anticipated housing assistance .....	_____
Housing to be demolished or disposed of .....	_____
Coordination with tribal and State welfare agencies .....	_____
The manner in which safety and resident involvement will be promoted .....	_____
Organizational capacity and key personnel that will carry out IHP activities .....	_____
Performance Objectives .....	_____
Useful Life .....	_____
Model Activities .....	_____
Tribal and Indian Preference .....	_____
Percentage of Planning and Administration .....	_____
Minimal Funding .....	_____
Method of Payment .....	_____
Environmental Review - Expression of Intent (Optional) .....	_____
Standard Certification of Compliance .....	_____
Tribal Certification .....	_____

## Five Year Indian Housing Plan

Respond to each of the elements requested in the 5-year plan section of the IHP. In addition to text, information may be presented in the form of charts, tables, maps, etc.

The 5-Year Plan section of the Indian Housing Plan must contain, with respect to the 5-year period beginning with the fiscal year for which the plan is submitted, the following information:

1. **Mission Statement.** A general statement of the mission of the Indian tribe to serve the needs of the low-income families in the jurisdiction of the Indian tribe (as defined in the regulation under Indian Area) during the 5-year period.
2. **Goals and Objectives.** A statement of the goals and objectives of the Indian tribe to enable the tribe to serve the needs identified in the mission statement.
3. **Activities Plan.** An overview of the activities planned during the period including an analysis of the manner in which the activities will enable the tribe to meet its mission, goals, and objectives.

## One Year Indian Housing Plan

Respond to each of the elements requested in the 1-year plan section of the IHP. In addition to text, information may be presented in the form of charts, tables, maps, etc. If a particular section does not apply because the tribe/TDHE will not carry out a specified activity, enter NA.

The 1-Year Plan section of the Indian Housing Plan must contain information, relating to the upcoming fiscal year for which assistance is to be made available, including the following:

1. **Goals and Objectives.** A statement of the goals and objectives to be accomplished during the period that are measurable as determined by the tribe/TDHE.
2. **Statement of Needs.** A statement of the housing needs of the low-income Indian families residing in the jurisdiction of the Indian tribe, and outside the jurisdiction where tribal needs require consideration, and the means by which such needs will be addressed during the 1-year period, including a description of:
  - a. the estimated housing needs and the need for assistance for the low-income Indian families in the jurisdiction, and outside the jurisdiction where tribal needs require consideration, including a description of the manner in which the geographical distribution of assistance is consistent with the geographical needs and needs for various categories of housing assistance; and
  - b. the estimated housing needs for all Indian families in the jurisdiction.
3. **Financial Resources.** An operating budget for the recipient including:
  - a. an identification and a description of the financial resources reasonably available to the recipient to carry out the purposes of NAHASDA, including an explanation of the manner in which amounts made available will leverage additional resources; and
  - b. the uses to which such resources will be committed, including eligible and required affordable housing activities under title II of NAHASDA and administrative expenses.
4. **Affordable Housing Resources.** A statement of the affordable housing resources currently available and to be made available during the period, including a description of:
  - a. the significant characteristics of the housing market in the jurisdiction, including the availability of housing from other public sources, private market housing, and the manner in which such characteristics influence the decision of the recipient to use grant amounts to be provided under NAHASDA for rental assistance, production of new units, acquisition of existing units, or rehabilitation of units;
  - b. the structure, coordination, and means of cooperation between the recipient and any other governmental entities in the development, submission, or implementation of housing plans, including a description of the involvement of private, public, and nonprofit organizations and institutions, and the use of loan guarantees under section 184 of the Housing and Community Development Act of 1992, and other housing assistance provided by the Federal Government for Indian tribes, including loans, grants, and mortgage insurance;
  - c. the manner in which the plan will address the needs identified pursuant to the Statement of Needs Section in paragraph 2;
  - d. the manner in which the recipient will protect and maintain the viability of housing owned and operated by the recipient that was developed under a contract between the Secretary and an Indian housing authority pursuant to the United States Housing Act of 1937;
  - e. any existing and anticipated homeownership programs and rental programs to be carried out during the period, and the requirements and assistance available under such programs;
  - f. any existing and anticipated housing rehabilitation programs necessary to ensure the long-term viability of the housing to be carried out during the period, and the requirements and assistance available under such programs;
  - g. all other existing or anticipated housing assistance provided by the recipient during the period, including transitional housing, homeless housing, college housing, supportive services housing, and the requirements and assistance available under such programs;
  - h. any housing to be demolished or disposed of, a timetable for such demolition or disposition, and any other information required by the Secretary with respect to such demolition or disposition including a financial analysis regarding the proposed demolition/disposition;
  - i. the manner in which the recipient will coordinate with tribal and State welfare agencies to ensure that residents of such housing will be provided with access to resources to assist in obtaining employment and achieving self-sufficiency;
  - j. the requirements established by the recipient to promote the safety of residents of such housing, facilitate the undertaking of crime prevention measures, allow resident input and involvement, including the establishment of resident organizations, and allow for the coordination of crime prevention activities between the recipient and tribal and local law enforcement officials; and
  - k. the entity that will carry out the activities under the plan, including the organizational capacity and key personnel of the entity.
5. **Performance Objectives.** In accordance with 24 CFR 1000.504, performance objectives are to be developed by each recipient and included in this 1-year plan. Performance objectives are criteria by which the recipient will monitor and evaluate its performance; provide quantitative measurements by which the recipient will gauge its performance; and determine the impact and benefit the grant beneficiary derives from the accomplishments obtained under the plan. For example, if in the IHP, the recipient indicates it will build new houses, the performance objective may be the completion of the homes within a certain time period and within a certain budgeted amount, and measure the numbers of tribal members and families served.



**Table 1**  
**Statement of Needs**

Name of Tribe:

Name of TDHE: (if applicable)

Grant Number:

Federal Fiscal Year: Tribal/TDHE Program Year:

Indian Area:

Part I: Tribal Profile for Indian Area		All Indians in the Indian Area	
column a	All Income Levels column b	Low-Income column c	
1. Total Indian Population			
2. Number of Indian Families			
3. Number of Elderly Indian Families			
4. Number of Near-Elderly Indian Families (optional)			
5. Number of Indian Families Living in Substandard Housing			
6. Number of Indian Families Living in Over-Crowded Conditions			
Part II: Tribal Profile for Indian Area (Optional)		All Income Levels	Low-Income
7.			
Part III: Current Status and Future Needs			
Type of Housing column a	Existing Housing column b	Unmet Needs for All Indian Families column c	Unmet Needs for Low-Income Indian Families column d
8. Rental Housing	a. Number of Units		
	b. Number of Units Needing Rehabilitation		
9. Homeowner Housing	a. Number of Units		
	b. Number of Units Needing Rehabilitation		
10. Supportive Service Housing (# of units)			
11. College Housing (# of units)			
12. Transitional Housing (# of units)			
13. Homeless Housing (# of beds)			
Part IV: Other Current Status and Future Needs (Optional)			
14.			
Data Source:			

## Instructions: Table 1: Statement of Needs

Complete the table in accordance with the instructions below.

### Table Heading

Enter the name of the tribe for whom the table is prepared and the name of the tribally designated housing entity (TDHE) if the IHP is prepared by a TDHE on behalf of the tribe. Enter the HUD assigned tribal grant number for the Federal fiscal year for which the table is prepared and the Federal fiscal year for which assistance is to be made available. For example, October 1, 1997 to September 30, 1998 is Federal fiscal year 1998. Enter the starting date of the tribal/TDHE designated program year (mm/dd/yyyy).

Describe the Indian area which the data in the table represents. The Indian area is the area within which an Indian tribe operates affordable housing programs or the area in which a TDHE is authorized by one or more Indian Tribes to operate affordable housing programs.

**Definitions:** The following definitions are to be used when completing Table 1.

**Low-income family:** A low-income family is a family whose income does not exceed 80 percent of the median income for the area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 80 percent of the median for the area on the basis of the findings of the Secretary or the agency that such variations are necessary because of prevailing levels of construction costs or unusually high or low family incomes.

**Family:** The term family includes, but is not limited to, a family with or without children, an elderly family, a near-elderly family, a disabled family, a single person, as determined by the Indian tribe.

**Median income:** The definition of median income, with respect to an Indian area, is the greater of the median income for the Indian area, which the Secretary shall determine; or the median income for the United States.

**Elderly family:** The term elderly family means a family whose head (or his or her spouse), or whose sole member, is an elderly person (at least 62 years of age). Such terms include 2 or more elderly persons living together, and 1 or more such persons living with 1 or more persons determined under the Indian housing plan for the agency to be essential to their care or well-being.

**Near-elderly family:** The term near-elderly family means a family whose head (or his or her spouse), or whose sole member, is a near-elderly person (at least 55 years of age and less than 62 years of age). Such terms include 2 or more near-elderly persons living together, and 1 or more such persons living with 1 or more persons determined under the Indian housing plan for the agency to be essential to their care or well-being.

The following definitions may be adopted by the tribe/THDE or the tribe/THDE may develop its own definitions.

**Substandard housing:** Substandard housing is a housing unit that is dilapidated; does not have operable indoor plumbing; does not have a usable flush toilet inside the unit for the exclusive use of a family; does not have a usable bathtub or shower inside the unit for the exclusive use of a family; does not have electricity, or has inadequate or unsafe electrical service; does not have a safe or adequate source of heat; should, but does not, have a kitchen; or has been declared unfit for habitation by an agency or unit of government.

**Dilapidated housing:** A dilapidated housing unit is a unit that does not provide safe and adequate shelter, and in its present condition endangers the health, safety, or well-being of a family; or a unit that has one or more critical defects, or a combination of

intermediate defects in sufficient number or extent to require considerable repair or rebuilding. The defects may involve original construction, or they may result from continued neglect or lack of repair or from serious damage to the structure.

**Overcrowded conditions:** Overcrowded means households with more than 1.01 persons per room.

**Units needing rehabilitation:** Units in need of rehabilitation are units which fail to meet the tribe's/TDHE's housing quality standards (HQS). The tribe's/TDHE's HQS must be at least as stringent as those used for the Section 8 program (see 24 CFR 982.401) unless the Area ONAP approves less stringent standards based on a determination that local conditions make the use of the Section 8 standards infeasible. Any less stringent standards must still, however, provide:

1. that the house is safe, in a physically sound condition with all systems performing their intended design functions;
2. a livable home environment;
3. an energy efficient building and systems which incorporate energy conservation measures;
4. adequate space and privacy for all intended household members.

**Supportive service housing:** Supportive service housing is housing, including housing units and group quarters, that has a supportive environment and includes a planned supportive service component. A planned supportive service component includes services provided to residents of supportive service housing for the purpose of facilitating the independence of residents. Examples of services include case management, medical or psychological counseling and supervision, child care, transportation, and job training.

**College housing:** College housing is housing, the primary purpose of which is to provide housing for students who are attending post high school educational facilities.

**Transitional housing:** Transitional housing is housing, the purpose of which is to facilitate the movement of homeless individuals and families to permanent housing within 24 months.

**Homeless housing:** Homeless housing is any facility, the primary purpose of which is to provide temporary or transitional shelter for the homeless in general or for specific populations of the homeless.

### Part I: Tribal Profile for Indian Area

The information required in Part I relates to Indian persons and families.

**Column a: Person and Family Categories:** This column lists selected categories for data collection. Line 1 requests information in terms of persons and lines 2-6 requests information in terms of families.

Columns b and c should include all Indians in the Indian area.

**Column b: All Income Levels:** Enter the requested information for Indians at all income levels including low-income.

**Column c: Low-Income:** Enter the requested information for low-income Indians. This column is a subset of column b and therefore, the numbers entered in this column should never be greater than those entered in column b.

**Line 1: Total Indian Population:** Enter the total number of Indian persons.

- Line 2: Number of Indian Families: Enter the total number of Indian families.
- Line 3: Number of Elderly Indian Families: Enter the total number of elderly Indian families.
- Line 4: Number of Near-Elderly Indian Families: Enter the total number of near-elderly Indian families. This information is optional.
- Line 5: Number of Indian Families Living in Substandard Housing: Enter the number of Indian families who are currently living in substandard housing.
- Line 6: Number of Indian Families Living in Over-Crowded Conditions: Enter the number of Indian families who are currently living in overcrowded housing.

**Part II: Tribal Profile for Indian Area (Optional)**

Part II is optional and allows tribes/TDHEs to provide information pertaining to any category of persons or families that they believe should be included in Table 1.

Column a: Person and Family Categories: Enter tribal/TDHE selected categories of persons or families. A definition of each category must be included as an attachment to this table.

Columns b and c: The instructions for these columns are the same as Part I except columns a, b, and c can represent Indians and non-Indians as determined by the categories selected.

- Line 7: Enter the tribal/TDHE selected categories of persons and/or families. For example, non-Indians to be served under NAHASDA. (use as many lines as necessary numbered 7a, 7b, 7c, etc. An attachment may be used if needed.)

**Part III: Current Status and Future Needs**

The information required in Part III relates to Indian persons and families.

Column a: Type of Housing: This column lists selected housing categories.

Column b: Existing Housing: Enter the number of existing housing units (or beds in the case of homeless housing) in the Indian area for each housing category described on lines 8-13.

Column c: Unmet Needs for All Indian Families: Enter the number of new housing units (or beds in the case of homeless housing) needed for all Indian families for each housing category described on lines 8-13.

Column d: Unmet Needs for Low-Income Indian Families: Enter the number of new housing units (or beds in the case of homeless housing) needed for low-income Indian families for each housing category described on lines 8-13. This column is a subset of column c. Therefore, the numbers entered in this column should never be greater than those entered in column c.

- Line 8a: Rental Housing-Number of Units: Enter the number of rental housing units including units that were developed under the 1937 Housing Act or are privately owned (include tribal housing) that are occupied or vacant. However, do not include supportive service housing, college housing, transitional housing, or homeless housing. These categories of housing are listed on lines 10-13.

- Line 8b: Rental Housing-Number of Units Needing Rehabilitation: Enter the number of rental housing units (from those entered in line 8a) that are in need of rehabilitation.

- Line 9a: Homeowner Housing-Number of Units: Enter the number of owner occupied housing units (occupied or vacant) including Turnkey III and Mutual Help housing developed under the 1937 Housing Act, and privately owned housing.

- Line 9b: Homeowner Housing-Number of Units Needing Rehabilitation: Enter the number of owner housing units (from those entered in line 9a) that are in need of rehabilitation.

- Line 10: Supportive Service Housing: Enter the number of supportive service housing units.

- Line 11: College Housing: Enter the number of college housing units.

- Line 12: Transitional Housing: Enter the number of transitional housing units.

- Line 13: Homeless Housing: Enter the number of homeless housing in terms of beds.

**Part IV: Other Current Status and Future Needs (Optional)**

Part IV is optional and allows tribes/TDHEs to provide information pertaining to any category of housing that they believe should be included in Table 1. Additional information describing local circumstances and concerns may be included when the tribe determines it appropriate to the IHP.

Column a: Types of Housing: Enter tribal/TDHE selected types of housing. For example, elderly housing. A definition of each category must be included as an attachment to this table.

Columns b, c, and d: The instructions for these columns are the same as Part III.

- Line 14: Enter the tribal/TDHE selected types of housing as described in column a above (use as many lines as necessary numbered 14a, 14b, 14c, etc. An attachment may be used if needed.)

Data Source: Describe the sources of data for the information contained in the table.

## Table 2 Financial Resources

Name of Tribe:

Name of TDHE: (if applicable)

Grant Number:

Federal Fiscal Year:

Tribal/TDHE Program Year:

Type of Submission: ☐ Original ☐ Amended

### Part I: Sources of Funds for NAHASDA Activities

Sources of Funds column a	Planned Amount column b
1. HUD Resources	
a. NAHASDA Block Grant	
b. NAHASDA Program Income	
c. NAHASDA Title VI	
d. Section 184 Loan Guarantee	
e. Indian Community Development Block Grant	
f. Drug Elimination Grants and Drug Technical Assistance	
g. Prior Year Funds	
h. Other	
2. Existing Program Resources	
a. 1937 Housing Act Programs	
b. Other HUD Programs	
3. Other Federal or State Resources	
a. BIA Home Improvement Program	
b. Other	
4. Private Resources	
a. Tribal Contributions for affordable housing	
b. Financial Institution	
c. Other	
5. Other	
6. Total Resources	

Table 2 Financial Resources Continued

**Part II: Allocation of Funds for NAHASDA Activities**

Activity column a		Budgeted Amount column b	Planned Number of Units column c	Number of Families column d
7. Indian Housing Assistance				
a. Modernization (1937 Housing Act)				
b. Operating (1937 Housing Act)				
8. Development				
a. Rental	1. Construction of new units			
	2. Acquisition			
	3. Rehabilitation			
b. Home-ownership	1. Construction of new units			
	2. Acquisition			
	3. Rehabilitation			
9. Housing Services				
10. Housing Management Services				
11. Crime Prevention and Safety				
12. Model Activities (specify below)				
a.				
13. Planning and Administration				
14. Reserves				
15. Other				
16. Total				

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**Instructions: Table 2: Financial Resources**

The allocation of resources should be consistent with the statement of needs in the IHP including Table 1. Complete the table in accordance with the instructions below.

**Table Heading**

Name of tribe: Enter the name of the tribe for whom the table is prepared.

TDHE Name (if applicable): Enter the name of the tribally designated housing entity (TDHE) if the IHP is prepared by a TDHE on behalf of the tribe.

Grant Number: Enter the HUD assigned tribal grant number for the Federal fiscal year for which the table is prepared.

Federal Fiscal Year: Enter the Federal fiscal year for which assistance is to be made available. For example, October 1, 1997 to September 30, 1998 is federal fiscal year 1998.

Tribal/TDHE Program Year: Enter the starting date of the tribal/TDHE designated program year (mm/dd/yyyy).

Type of Submission: Enter an "X" if this table is an original submission. Enter an "X" if this table amends a prior submission.

**Part I: Sources of Funds for NAHASDA Activities**

In part I of Table 2, list only the sources of funds and related dollar amounts that will be used for NAHASDA eligible activities. NAHASDA eligible activities are listed in Part II of this table.

If the exact amount of funds reasonably expected to be made available during the plan period is not known at the time the IHP is prepared, estimate amounts as accurately as possible.

Column a: Sources of Funds: This column lists selected sources of funds that may be used for NAHASDA activities. No data is required to be entered in this column unless a tribe/TDHE elects to include funding sources that are not already listed.

Column b: Planned Amount: Enter the amount of funds that are expected to be received during the period of time covered by the 1-year plan that will be used for NAHASDA eligible activities.

- Line 1a: NAHASDA Block Grant: Enter the amount of NAHASDA block grant funds expected to be received during the period covered by 1-year plan.
- Line 1b: NAHASDA Program Income: Enter the amount of NAHASDA program income that is expected to be received during the period covered by the 1-year plan. Program income is defined in the final rule.
- Line 1c: NAHASDA Title VI: Enter the amount of NAHASDA Title VI funds expected to be received during the period covered by the 1-year plan.
- Line 1d: Section 184 Loan Guarantee: Enter the amount of Section 184 Loan Guarantee funds expected to be reserved during the period covered by the 1-year plan.
- Line 1e: Indian Community Development Block Grant: Enter the amount of Indian Community Development Block Grant funds expected to be received during the period covered by the 1-year plan which will be used for NAHASDA eligible activities.
- Line 1f: Drug Elimination Grants and Drug Technical Assistance: Enter the amount of Drug Elimination Grant and Drug Technical Assistance funds expected to be received during the period covered by the 1-year plan which will be used for NAHASDA eligible activities.

Line 1g: Prior Year Funds: Enter the amount of NAHASDA funds from previous years that have not been programmed in a previous IHP, and are available for use during the period covered by the 1-year plan. No data is required on this line for the first year of NAHASDA.

Line 1h: Other: In column a, enter the name(s) of HUD programs that are not listed above, but for which funds are expected to be received during the period covered by the 1-year plan and are to be used for NAHASDA eligible activities. In column b, enter the amount of funds expected to be received.

Line 2a: 1937 Housing Act Programs: Enter the amount of unobligated funds from the programs listed below. Remaining funds from the programs listed below will be incorporated into the NAHASDA program as of October 1, 1997, and will be governed by NAHASDA rules.

1937 Housing Act Programs:  
Comprehensive Improvement Assistance Program  
Comprehensive Grant Program  
Development Programs  
Operating Subsidy and Cash Reserves  
Homebuyer Equity  
Proceeds From Sale

Line 2b: Other HUD Programs: Enter the amount of unobligated funds from the programs listed below.

HOPE  
HOME  
Youthbuild  
Economic Development Supportive Services  
Family Investment Centers  
Section 8 Rental Assistance/Renewals  
Emergency Shelter Grants

Line 3a: BIA Home Improvement Program: Enter the amount of BIA Home Improvement Program funds expected to be received during the period covered by the 1-year plan which will be used for NAHASDA eligible activities.

Line 3b: Other: In column a, enter the name(s) of other federal or state resources that are not listed above, but for which funds are expected to be received during the period covered by the 1-year plan and are to be used for NAHASDA eligible activities. In column b, enter the amount of funds expected to be received.

Line 4a: Tribal Contributions for affordable housing: Enter the amount of tribal contributions expected to be received during the period covered by the 1-year plan which will be used for NAHASDA eligible activities.

Line 4b: Financial Institution: Enter the amount of funds expected to be received from financial institutions (banks, mortgage companies, credit unions, etc.) during the period covered by the 1-year plan which will be used for NAHASDA eligible activities. Do not include the amount of funds expected to be received under NAHASDA Title VI or Section 184. Funds from these sources will be listed in lines 1c and 1d, respectively.

Line 4c: Other: In column a, enter the name(s) of other private resources that are not listed above, but for which funds are expected to be received during the period covered by the 1-year plan and are to be used for NAHASDA eligible activities. In column b, enter the amount of funds expected to be received.

Line 5: Other: In column a, enter any other funding source that is not listed above, but for which funds are expected to be received during the period covered by the 1-year plan and are to be used for NAHASDA eligible activities. In column b, enter the amount of funds expected to be received.

Line 6: Total Resources: Enter the total amount of all resources by adding lines 1 through 5.

## Part II: Allocation of Funds for NAHASDA Activities

Column a: Activity: This column lists the NAHASDA Eligible Activities. If model activities are to be undertaken as part of the 1-year plan, they must be identified on line 12.

Column b: Budgeted Amount: Enter the amount of funds to be budgeted for each NAHASDA activity. This number should include direct program costs, e.g., program materials and contract costs associated with the eligible activity. Staff and overhead costs directly related to carrying out affordable housing activities can be determined to be eligible costs of the affordable housing activity or considered administration or planning (line 13) at the discretion of the recipient.

Column c: Number of Units: Enter the number of units to be completed for each activity which shows a budgeted amount in column b.

Column d: Number of Families: Enter the number of families that will be assisted through each activity which shows a budgeted amount in column b.

Line 7a: Modernization: Enter the requested information for modernization activities for housing previously developed or operated pursuant to a contract between the Secretary and an Indian housing authority. (1937 Housing Act units)

Line 7b: Operating: Enter the requested information for operation activities for housing previously developed or operated pursuant to a contract between the Secretary and an Indian housing authority. (1937 Housing Act units)

Line 8: Development: This line is a heading for lines 8a and 8b.

Line 8.a.1: Rental-Construction of new units: Enter the requested information for the construction of new rental units.

Line 8.a.2: Rental-Acquisition: Enter the requested information for the acquisition of new rental units.

Line 8.a.3: Rental-Rehabilitation: Enter the requested information for the rehabilitation of rental units.

Line 8.b.1: Home Ownership-Construction of new units: Enter the requested information for the construction of new homeownership units.

Line 8.b.2: Home Ownership-Acquisition: Enter the requested information for the acquisition of homeownership units.

Line 8.b.3: Home Ownership-Rehabilitation: Enter the requested information for the rehabilitation of homeownership units.

Line 9: Housing Services: Enter the requested information for housing services. Housing services include the provision of housing-related services for affordable housing, such as housing counseling in connection with rental or homeownership assistance, establishment and support of resident organizations and

resident management corporations, energy auditing, activities related to the provision of self-sufficiency and other services, and other services related to assisting owners, tenants, contractors, and other entities, participating or seeking to participate in other housing activities assisted pursuant to section 202 of NAHASDA.

Line 10: Housing Management Services: Enter the requested information for housing management services. Housing management services include the provision of management services for affordable housing, including preparation of work specifications, loan processing, inspections, maintenance, tenant selection, management of tenant-based rental assistance, and management of affordable housing projects.

Line 11: Crime Prevention and Safety: Enter the requested information for crime prevention and safety activities. Crime prevention and safety activities include the provision of safety, security, and law enforcement measures and activities appropriate to protect residents of affordable housing from crime. Costs for crime prevention and safety apply to 1937 Housing Act assisted units as well as other units.

Line 12: Model Activities (specify below): Housing activities under model programs are activities that are designed to carry out the purposes of NAHASDA. Note: Model activities must be approved by the Secretary. Listing a model activity on this table does not constitute Secretarial approval.

Line 12a: Enter the name of the model activity in column a. In columns b, c, and d, enter the requested information for the model activity. (use as many lines as necessary numbered 12a, 12b, 12c, etc.)

Line 13: Planning and Administration: Enter the requested information for planning and administration. Planning and administration are defined in the Final Rule.

Line 14: Reserves: If the tribe/TDHE plans to reserve any of its funds for use in future years, enter the amount in column b.

Line 15: Other: Any other use of funds should be identified here and a description of the activity should be included as an attachment to Table 2.

Line 16: Total: Enter the totals of lines 7 through 15.

**Table 3  
Housing Profile**

Name of Tribe: \_\_\_\_\_

Name of TDHE: (if applicable) \_\_\_\_\_

Grant Number: \_\_\_\_\_

Federal Fiscal Year:	Tribal/TDHE Program Year:
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**Part I: 1937 Housing Act Inventory Under Management**

Housing Inventory column a		Number of Units (Subtotal) column b	Number of Units (Total) column c
1. Mutual Help Units Under Management as of September 30			
2. Low Rent Units Under Management as of September 30			
3. Turnkey III Units Under Management as of September 30			
4. Total Beginning 1937 Housing Act Inventory			
5. Units Planned to be Demolished or Disposed of During Plan Period	a. Mutual Help		
	b. Low Rent		
	c. Turnkey III		
	d. Total		( )
6. Units Planned to be Conveyed During Plan Period	a. Mutual Help		
	b. Low Rent		
	c. Turnkey III		
	d. Total		( )
7. Total Planned Ending 1937 Housing Act Inventory as of Sept. 30			

**Part II: 1937 Housing Act Inventory in the Development Pipeline**

8. Mutual Help Units in the Pipeline as of September 30		
9. Low Rent Units in the Pipeline as of September 30		
10. Total Units in Pipeline as of September 30		

**Part III: Section 8 Vouchers and Certificates**

11. Section 8 Vouchers and Certificates as of September 30		
--	--	--

**Part IV: NAHASDA Units**

12. Total NAHASDA Units as of September 30		
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**Instructions: Table 3: Housing Profile**

Complete the table in accordance with the instructions below.

**Table Heading**

Name of Tribe: Enter the name of the tribe for whom the table is prepared.

Name of TDHE (if applicable): Enter the name of the tribally designated housing entity (TDHE) if the IHP is prepared by a TDHE on behalf of the tribe.

Grant Number: Enter the HUD assigned tribal grant number for the Federal fiscal year for which the table is prepared.

Federal Fiscal Year: Enter the Federal fiscal year for which assistance is to be made available. For example, October 1, 1997 to September 30, 1998 is federal fiscal year 1998.

Tribal/TDHE Program Year: Enter the starting date of the tribal/TDHE designated program year (mm/dd/yyyy).

Column a: Housing Inventory: Column a lists housing inventory including 1937 Housing Act units, Section 8 Vouchers and Certificates, and NAHASDA units.

Column b: Number of Units (Subtotal): Enter the subtotal amount for the number of units as requested.

Column c: Number of Units (Total): Enter the total amount for the numbers of units as requested.

**Part I: 1937 Housing Act Inventory Under Management**

Line 1: Mutual Help Units Under Management as of September 30: Enter the number of Mutual Help units which are/were owned or operated pursuant to an Annual Contributions Contract (ACC) and under management as of September 30 of the Federal fiscal year preceding the Federal fiscal year that funding will be received for this 1-year plan. For example, October 1, 1997 to September 30, 1998 is Federal fiscal year 1998. If a tribe's 1-year plan will cover the period of time from October 1, 1997 to September 30, 1998, the number of Mutual Help units entered on this line should be the number of units as of September 30, 1997.

Line 2: Low Rent Units Under Management as of September 30: Enter the number of Low Rent units which are/were owned or operated pursuant to an ACC and under management as of September 30 of the Federal fiscal year preceding the Federal fiscal year that funding will be received for this 1-year plan. For example, October 1, 1997 to September 30, 1998 is Federal fiscal year 1998. If a tribe's 1-year plan will cover the period of time from October 1, 1997 to September 30, 1998, the number of Low Rent units entered on this line should be the number of units as of September 30, 1997.

Line 3: Turnkey III Units Under Management as of September 30: Enter the number of Turnkey III units which are/were owned or operated pursuant to an Annual Contributions Contract ACC and under management as of September 30 of the Federal fiscal year preceding the Federal fiscal year that funding will be received for this 1-year plan. For example, October 1, 1997 to September 30, 1998 is Federal fiscal year 1998. If a tribe's 1-year plan will cover the period of time from October 1, 1997 to September 30, 1998, the number of Turnkey III units entered on this line should be the number of units as of September 30, 1997.

Line 4: Total beginning 1937 Housing Act Inventory: Enter the total of lines 1 through 3.

Line 5a: Mutual Help Units Planned to be Demolished or Disposed of During Plan Period: Enter the number of Mutual Help units planned to be demolished or disposed of during the 1-year plan period. Do not include conveyed units.

Line 5b: Low Rent Units Planned to be Demolished or Disposed of During Plan Period: Enter the number of Low Rent units planned to be demolished or disposed of during the 1-year plan period. Do not include conveyed units.

Line 5c: Turnkey III Units Planned to be Demolished or Disposed of During Plan Period: Enter the number of Turnkey III units planned to be demolished or disposed of during the 1-year plan period. Do not include conveyed units.

Line 5d: Total: Enter the total of lines 5a through 5c.

Line 6a: Mutual Help Units Planned to be Conveyed During Plan Period: Enter the number of Mutual Help units planned to be conveyed to homebuyers during the 1-year plan period.

Line 6b: Low Rent Units Planned to be Conveyed During Plan Period: Enter the number of Low Rent units planned to be conveyed to tenants during the 1-year plan period.

Line 6c: Turnkey III Units Planned to be Conveyed During Plan Period: Enter the number of Turnkey III units planned to be conveyed to homebuyers during the 1-year plan period.

Line 6d: Total: Enter the total of lines 6a through 6c.

Line 7: Total Planned Ending 1937 Housing Act Inventory as of September 30: Enter the total of line 4 minus lines 5d and 6d. This is the estimated total assisted housing stock which is owned or operated pursuant to an ACC and under management by a tribe/TDHE at the end of the Federal fiscal year for which funding will be received for this 1-year plan.

**Part II: 1937 Housing Act Inventory in the Development Pipeline**

Line 8: Mutual Help Units in the Pipeline as of September 30: Enter the number of Mutual Help units which are in the development pipeline (planned or under construction) as of September 30 of the Federal fiscal year preceding the Federal fiscal year that funding will be received for this 1-year plan. For example, October 1, 1997 to September 30, 1998 is Federal fiscal year 1998. If a tribe's 1-year plan will cover the period of time from October 1, 1997 to September 30, 1998, the number of Mutual Help units entered on this line should be the number of units as of September 30, 1997.

Line 9: Low Rent Units in the Pipeline as of September 30: Enter the number of Low Rent units which are in the development pipeline (planned or under construction) as of September 30 of the Federal fiscal year preceding the Federal fiscal year that funding will be received for this 1-year plan. For example, October 1, 1997 to September 30, 1998 is Federal fiscal year 1998. If a tribe's 1-year plan will cover the period of time from October 1, 1997 to September 30, 1998, the number of Low Rent units entered on this line should be the number of units as of September 30, 1997.

Line 10: Total Units in Pipeline as of September 30: Enter the total of lines 8 and 9.

**Part III: Section 8 Vouchers and Certificates**

Line 11: Section 8 Vouchers and Certificates as of October 1: Enter the total number of Section 8 Vouchers and Certificates approved for the tribe/TDHE as of September 30 of the Federal fiscal year preceding the Federal fiscal year that funding will be received for this 1-year plan. For example, October 1, 1997 to September 30, 1998 is Federal fiscal year 1998. If a tribe's 1-year plan will cover the period of time from October 1, 1997 to September 30, 1998, the number of Section 8 Vouchers and Certificates entered on this line should be the number of units as of September 30, 1997.

**Part IV: NAHASDA Units**

Line 12: Total NAHASDA Units as of October 1: Enter the total number of units that have been completed (are occupied or are ready for occupancy) with NAHASDA funds as of September 30 of the Federal fiscal year preceding the Federal fiscal year that funding will be received for this 1-year plan. For example, October 1, 1997 to September 30, 1998 is Federal fiscal year 1998. If a tribe's 1-year plan will cover the period of time from October 1, 1997 to September 30, 1998, the number of NAHASDA units entered on this line should be the number of units as of September 30, 1997. No data is required on this line for the first year of NAHASDA.

Native American Housing Assistance and Self-  
Determination Act  
Environmental Review - Expression of Intent

To facilitate the completion of environmental review responsibilities under the Indian Housing Block Grant program, this Expression of Intent will provide HUD with information needed to assist the tribe in completion of these activities and to schedule resources needed to complete environmental review responsibilities. Environmental reviews are completed for individual activities included in the Indian Housing Plan. The tribe can choose to complete the environmental review for some or all activities and can decide at a later date to change its decision.

- ☐ The tribe plans to assume the status of a Federal official under the National Environmental Policy Act of 1969 and the other provisions of law listed in 24 CFR 58.5 insofar as the provisions of the Act and such other provisions of law apply to the Indian tribe's proposed program pursuant to 24 CFR part 58.
- ☐ The tribe plans to request HUD to fulfill environmental review responsibilities stated above pursuant to 24 CFR part 50.
- ☐ The tribe plans to work with HUD and provide information and studies to HUD to allow HUD to fulfill environmental review responsibilities stated above pursuant to 24 CFR part 50.
- ☐ The tribe plans to assume the responsibilities stated above except for the following listed activities for which it will request HUD to fulfill the environmental review responsibilities.

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**Other Submissions:**

Recipients of NAHASDA funds are required to prepare and submit the following information:

1. **Useful Life:** Sections 205(a)(2) and 209 of NAHASDA requires that housing remain affordable. Each recipient will determine the "useful life" period for its units. The useful life of each assisted housing unit in each development must be described. This information may be described here or in the affordable housing resources section of the 1-year plan.
2. **Model Housing Activities:** Recipients are required to submit proposals to operate model housing activities or other housing programs as defined in NAHASDA sections 201(b)(2) and 202(6) for non low-income families. Assistance to non low-income Indian families must be in accordance with the Final Rule. If a model housing activity is to be undertaken during the 1-year plan period, proposals may be included here, in the affordable housing resources section of the 1-year plan, as an amendment to the IHP, or by special request to HUD at any time. All proposals must be approved by the Secretary prior to beginning any model housing activity.
3. **Tribal and other Indian Preference:** Section 201(b)(4) of NAHASDA allows preference for tribal members and other Indian families. If preference will be given to tribal members or other Indian families, the preference policy must be described. This information may be provided here or in the affordable housing resources section of the 1-year plan.
4. **Planning and Administration:** In accordance with the Final Rule, state the percentage of annual grant funds which will be used for planning and administrative purposes. If the amount is over 20 percent of the annual grant amount, HUD approval is required.
5. **Minimal Funding:** As stated in the Final Rule, the first year of NAHASDA participation, a tribe whose allocation is less than \$50,000 under the need component of the formula shall have its need component of the grant adjusted to \$50,000. Certify here that there is a need for funding.
6. **Method of Payment:** In accordance with the Final Rule, state the method of payment the tribe/THDE will use to request its grant funds.

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Native American Housing Assistance and  
Self-Determination Act

Indian Housing Plan  
Standard Certification of Compliance

This certification is for use with the Indian Housing Plan (IHP). If the IHP is prepared and submitted by a Tribally Designated Housing Entity on behalf of a tribe, it must be accompanied by a tribal certification from the recognized tribal government covered under the IHP.

In accordance with the applicable statutes, the recipient certifies that:

(A) it will comply with title II of the Civil Rights Act of 1968 in carrying out this Act, to the extent that such title is applicable, and other applicable Federal statutes;

The following certifications will only apply where applicable based on program activities

- ☐ (B) it will maintain adequate insurance coverage for housing units that are owned and operated or assisted with grant amounts provided under the Native American Housing and Self-Determination Act of 1996 (the Act), in compliance with such requirements as may be established by the Secretary;
- ☐ (C) policies are in effect and are available for review by the Secretary and the public governing the eligibility, admission, and occupancy of families for housing assisted with grant amounts provided under the Act;
- ☐ (D) policies are in effect and are available for review by the Secretary and the public governing rents charged, including the methods by which such rents or homebuyer payments are determined, for housing assisted with grant amounts provided under the Act; and
- ☐ (E) policies are in effect and are available for review by the Secretary and the public governing the management and maintenance of housing assisted with grant amounts provided under the Act.

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Signature of Authorized Official

Date

X

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Title

Native American Housing Assistance and Self-  
Determination Act

Indian Housing Plan Tribal Certification

This certification is for use with the Indian Housing Plan (IHP) when a Tribally Designated Housing Entity (TDHE) prepares the IHP on behalf of an Indian tribe. This certification must be executed by the recognized tribal government covered under the IHP.

The recognized tribal government of the grant beneficiary certifies that:

- ☐ (1) it had an opportunity to review the IHP and has authorized the submission of the IHP by the housing entity; or
- ☐ (2) it has delegated to such TDHE the authority to submit an IHP and amendments to the IHP on behalf of the tribe without prior review by the tribe.

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Date

X

\_\_\_\_\_  
Title



**Attachment 1-3: Summary of NAHASDA  
Eligible Affordable Housing Activities**





## **NAHASDA AFFORDABLE HOUSING - SUMMARY**

### **Summary of NAHASDA Eligible Affordable Housing Activities**

**Affordable housing activities under this title [title II of NAHASDA] are activities, in accordance with the requirements of this title, to develop or to support affordable housing for rental or homeownership, or to provide housing services with respect to affordable housing, through the following activities:**

- Affordable housing is housing that meet the requirements of title II of NAHASDA:
  - Housing units developed under the United States Housing Act of 1937 (low rent, Mutual Help and Turnkey housing units) are considered to be and must be maintained as affordable housing for purposes of NAHASDA
  - Housing units developed under NAHASDA are required to meet NAHASDA requirements
  - Other housing units that are not assisted under NAHASDA, but which meet the requirements of title II of NAHASDA, qualify as affordable housing
- “Housing” includes
  - Rental housing that may be single family units, multifamily units, Single Room Occupancy units, attached units such as duplex, triplex
  - Homeownership housing
  - Group homes for persons with special needs such as the elderly/disabled
  - Congregate housing
  - Transitional housing
  - Halfway housing
  - Domestic violence shelters
  - Homeless emergency shelters

**(1) Indian Housing Assistance -- The provision of modernization or operating assistance for housing previously developed or operated pursuant to a contract between the Secretary and an Indian housing authority.**

Eligible activities include, but are not limited to:

- Modernization of 1937 Act Housing
- Operating assistance for 1937 Act Housing
  - Maintenance
  - Rent and participants’ utility subsidies

**(2) Development -- The acquisition, new construction, reconstruction, or moderate or substantial rehabilitation of affordable housing, which may include real property acquisition, site improvement, development of utilities and utility services, conversion, demolition, financing, administration and planning, and other related activities.**

Eligible activities include, but not limited to:

- Acquisition of affordable housing
  - Financing acquisition of affordable housing by homebuyers
    - Down payment assistance
    - closing costs assistance
    - direct lending
    - interest subsidies or other financial assistance
- New construction of affordable housing
- Reconstruction of affordable housing
- Moderate rehabilitation of affordable housing, including but not limited to:
  - lead-based paint hazards elimination or reduction
  - improvements to provide physical accessibility for disabled persons
  - energy-related improvements
- Substantial rehabilitation of affordable housing, including but not limited to:
  - lead-based paint hazards elimination or reduction
  - improvements to provide physical accessibility for disabled persons
  - energy-related improvements
- Conversion of building into affordable housing
- Activities related to the affordable housing include but not limited to:
  - Site improvements
    - Recreational area and playgrounds for use by residents of affordable housing
    - On-site streets and sidewalks
  - Development of utilities and utility services
  - Acquisition of real property
  - Demolition
  - Relocation
  - Environmental review of the affordable housing project
  - Administration and planning of the affordable housing project
  - Architectural and engineering plans

**(3) Housing Services -- The provision of housing-related services for affordable housing, such as housing counseling in connection with rental or homeownership assistance, establishment and support of resident organizations and resident management corporations, energy auditing, activities related to the provision of self-sufficiency and other services, and other services related to assisting owners, tenants, contractors, and other entities, participating or seeking to participate in other housing activities assisted pursuant to this section.**

Eligible activities include, but not limited to:

- Housing counseling in connection with affordable rental or homeownership housing
- Establishment and support of resident organizations in affordable housing
- Establishment of resident management corporations in affordable housing
- Energy auditing of affordable housing
- Activities related to the provision of self-sufficiency,
  - Child care costs – subsidies to residents of affordable housing or operating costs of a facility [but not construction or rehabilitation of a facility] for residents of affordable housing
  - Transportation costs -- subsidies to residents of affordable housing or rental of car, van, or bus for residents of affordable housing to attend training
  - Job placement and job training for residents of affordable housing
  - Assistance to residents of affordable housing in obtaining other Federal, state and local assistance
- Homeless prevention activities, which are short-term subsidies to defray rent and utility bills that families have received.
- Security deposits and/or first month's rent to permit family to move into an apartment
- Payments to prevent foreclosure on a home
- Tenant-based rental assistance payments, including
  - College housing vouchers
- Youth activities for residents of affordable housing that reduce or eliminate the use of drugs
  - Salaries and expenses for staff of youth sports program
  - Educational programs relating to drug abuse
  - Boys and Girls Clubs
  - Sports and recreation equipment

**(4) Housing Management Services -- The provision of management services for affordable housing, including preparation of work specifications, loan processing, inspections, tenant selection, management of tenant-based rental assistance, and management of affordable housing projects.**

Eligible activities include, but not limited to:

- Preparation of work specifications for affordable housing
- Loan processing for affordable housing
- Inspections for affordable housing
- Tenant selection for affordable housing
- Management of tenant-based rental assistance
- Mediation programs for landlord-tenant disputes for affordable housing

**(5) Crime Prevention and Safety Activities -- The provision of safety, security, and law enforcement measures and activities appropriate to protect residents of affordable housing from crime.**

Eligible activities include, but not limited to:

- Physical improvements for affordable housing to enhance security such as fences, speed bumps, monitors, locks, additional lighting
- Employment of security personnel for affordable housing
  - Equipment for patrols

**(6) Model Activities -- Housing activities under model programs that are designed to carry out the purposes of this Act and are specifically approved by the Secretary as appropriate for such purpose.**

Eligible activities include, but not limited to:

- Construction of an office building for the recipient's administration of NAHASDA activities, including the rehabilitation of or additions to existing office spaces
- Construction of warehouse, maintenance and storage space for housing materials for housing assisted under NAHASDA, including the rehabilitation of or additions to existing structure.
- Construction of day care center, including the rehabilitation of existing facility to be used for day care, to the extent that the facility will be used by residents of affordable housing.
- Construction of a community building or center, including the rehabilitation of an existing facility, to the extent it will be used for affordable housing activities and by residents of affordable housing.
- Construction of college housing to the extent the facility will be used by eligible families.

Each model housing activity must be approved in accordance with the procedures in CFR Part 1000, Subpart B.

## **Summary of Section 101(h).**

**Administrative Expenses** -- The Secretary shall, by regulation, authorize each recipient to use a percentage of any grant amounts received under this Act for any reasonable administrative and planning expenses of the recipient relating to carrying out this Act and activities assisted with such amounts, which may include costs for salaries of individuals engaged in administering and managing affordable housing activities assisted with grant amounts provided under this Act and expenses of preparing an Indian housing plan under section 102.

- Eligible administrative and planning expenses of the IHBG program include:
  - Costs of overall program and/or administrative management, including
  - Salaries and benefits of staff administering IHBG program
  - Costs of coordination, monitoring, and evaluation
  - Costs of preparing the Indian Housing Plan, including data collection
  - Costs of preparing the annual performance report
  - Challenge to and collection of data for purposes of challenging the formula.
- Staff and overhead costs directly related to carrying out affordable housing activities can be costs of the affordable housing activity or administration or planning at the discretion of the recipient.
- The recipient can use up to 20% of its grant for administration and planning and must identify the percentage of grant funds which will be used in the Indian Housing Plan.
- The recipient may request HUD approval to use more than 20% of its grant for administration and planning. HUD must consider any cost of preparing the Indian Housing Plan, challenges to and collection of data, the recipient's grant amount, approved cost allocation plans, and any other relevant information with special consideration given to the circumstances of recipients receiving minimal funding.





# CHAPTER 2: ORGANIZING THE IHP DEVELOPMENT PROCESS

This chapter describes steps and issues related to the IHP development process, such as:

- ☐ Key personnel to involve in developing the IHP.
- ☐ Various ways to get the public involved.
- ☐ How to use various planning models to suit the needs of the recipient.
- ☐ How a workplan can help coordinate the IHP process.

## INTRODUCTION

- ☐ When beginning to write an IHP, it is helpful to determine a method of organization to guide the process. The method should incorporate various people, data, tasks and management questions in a way that reflects the specific strengths, needs, capacities and resources of the recipient. In considering a method of organization, ask the following questions:
  - Who should be involved in the development of the IHP?
  - What is the best way to gain and utilize their support?
  - How can the information needed be obtained?
  - How can tasks be coordinated so they are done in a timely and efficient manner?

## ORGANIZING THE PLAYERS

### *Who Should Be Involved*

- ☐ Development of a successful and inclusive IHP requires some level of:
  - Communication and consultation with key governmental, social service and community agencies and organizations.
  - Involvement of the people that will be affected by the plan and its activities.

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## NOTES



## ***Chapter 2: Organizing the IHP Development Process***

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☐ The critical decisions for the recipient are:

- Exactly who to involve.
- What role they should play.
- How involved they should be.

☐ Some of the key players in the IHP process may include:

- Tribal council.
- Residents and resident organizations or associations.
- TDHE.
- IHA.
- Tribal housing and economic development offices.
- Non-profit organizations serving the tribal area.
- Area schools.
- Area churches.
- Area business owners/leaders.
- Tribal health office.
- Indian Health Services (IHS).
- Bureau of Indian Affairs (BIA).
- Local and State government housing and housing finance agencies.

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## ***NOTES***

## ***Chapter 2: Organizing the IHP Development Process***

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### ***Tips for Developing Collaboration***

- ☐ To bring together people and organizations from various backgrounds and levels of skill, time, and commitment, the recipient will need:
  - Political support of the ultimate decision-makers (particularly the tribal government).
  - Adequate resources (staffing, time, and money) to accommodate the public input techniques chosen.
  - Clear delineation of roles and responsibilities.
  - Responsiveness on the part of the planning agency so that participating members of the public believe their input was heard and taken into consideration.
- ☐ Public participation efforts that take these issues into account are more likely to be effective than those that do not.



#### **Participation and Collaboration**

Remember! Tribal and community members choose to participate. They are more likely to participate if they expect to have a satisfying experience and hope to influence the process in some manner.

### ***Determining Roles and Levels of Involvement***

- ☐ Developing an IHP involves bringing together individuals and organizations with various roles, backgrounds, and experiences. Knowing who to involve, how to bring them to the table, and how to organize them so that maximum benefit can come from their contributions to the development of the IHP, can seem like an overwhelming challenge. For example, what role is best for:
  - A tribal planner with a limited amount of time?
  - A housing developer with extensive resources ... and his own agenda?
  - A local church and its organized volunteer committee?
  - A residents' organization that is very active in the community?
  - A local advocate representing many different groups?

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## ***NOTES***

## ***Chapter 2: Organizing the IHP Development Process***

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- ☐ To determine roles and level of involvement in the process of the IHP, ask the following questions:
  - What kind of information is needed?
  - Who is knowledgeable about the tribe and its housing issues?
  - Does the planning effort require data from people and/or agencies?
  - Does the planning effort require people to participate in or lead a task force or subcommittee?
  - Does the planning effort need people to formulate ideas and strategies?
  - Is assistance in reaching out to the residents required?
  - Is assistance required in the actual writing and editing of the document?
- ☐ What contribution or value will various people add to and receive from the planning process?
  - What information, expertise, or assistance can they provide?
  - Can they play a leadership role?
  - What role do they want to play in the process?
  - Do they want a pre-determined outcome? If yes, what are ways to deal with this?
  - Does the planning effort require their support?
  - Could they hinder the process if not invited to participate?
- ☐ What level of public input makes sense for the planning process?
  - Who will be affected by the plan?
  - Is it necessary to involve everyone in all aspects of the process, or only in limited ways?

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## ***NOTES***

## **Chapter 2: Organizing the IHP Development Process**

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- What is the best way to ensure that residents have the opportunity to provide input into the plan's development?
- ☐ Asking these questions will help to determine the capacities, skills, special interests, and unique challenges that may be brought to the table by various players.
- ☐ Consider how the attributes of various players will best line up with what is required of them to develop the IHP, and what organizational method is most logical for public input and support. For example:
  - The plan requires extensive demographic data - an area tribal college may have a program in demographics.
  - The plan requires a person to conduct community meetings - a tribal leader has volunteered to facilitate these meetings.
- ☐ Determining needs, capacities, and organization will help create logical solutions for organizational challenges.

## **GETTING THE PUBLIC INVOLVED**

### **Overview**

- ☐ While bringing experts, leaders, and organizational representatives to the table is important, it is also critical to ensure that the entire community is involved in the planning process. The input of the public can contribute greatly to the relevancy, substance, and legitimacy of the IHP process. Giving the public room to comment can also help prevent disputes.
  - Public input can make the IHP more effective by:
    - ⇒ Generating a spirit of cooperation and trust. Tribal members will feel more comfortable with a plan when they can watch and comment on its development.
    - ⇒ Providing opportunities to disseminate and share information. Public awareness on important issues can prevent last-minute crises and concerns.

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## ***Chapter 2: Organizing the IHP Development Process***

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- ⇒ Assisting in identifying concerns, needs, and possible alternative solutions. The public can provide a very practical understanding of the community's challenges and may also offer a wealth of possible solutions.
  - ⇒ Providing legitimacy to the planning effort and the political credibility of the lead agency. A plan designed for the community requires public review and criticism to ensure that it meets the community's needs. By gaining public input, the lead agency shows that its goals are to meet public needs.
  - ⇒ Achieving a "buy in" of the final decisions to meet some needs and not others.
  - ⇒ Increasing public support and providing a foundation for future relationships.
- ❑ To involve the public throughout the IHP process, the extent to which they are involved, how they are involved, and at what stages must be determined early on.
  - ❑ The following section discusses some techniques to gain public input.

### ***Techniques for Gaining Public Input***

- ❑ There are a variety of techniques available to solicit public input into the housing planning process.
  - These techniques can be grouped into four main categories:
    - ⇒ Publicity.
    - ⇒ Public education.
    - ⇒ Public interaction.
    - ⇒ Public participation.
  - Each of these techniques is described below.

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## **Chapter 2: Organizing the IHP Development Process**

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### **Publicity**

- ☐ Publicity techniques are good for letting the public know what is going on early in the process and for building public support for the planning process in general.
- ☐ Various publicity techniques to consider are:
  - Press releases – A press release is a very specific and succinct document announcing an event or major activity, such as the start and completion of the IHP process. Press releases are sent to contacts at television, radio, and printed news organizations.
  - Newspaper Ads – Advertisements in local papers will reach a large number of persons. The advertisement should be concise and written in such a way that the public can easily understand the information. Advertisements will cost money, usually based on the size and complexity of the ad. Ads are usually used to let the public know of meetings, hearings, and other opportunities to provide input.
  - Flyers – Flyers are used to advertise upcoming events. They are usually done on brightly colored paper and posted in public places or handed out. Flyers are an excellent way to announce meetings.
  - Public service announcements – Many radio and television stations provide public service announcements free of charge. The announcements are intended to inform the public about an event, cause, or service. Contact local stations to find out about their public service announcement policies.
- ☐ Publicity techniques are useful because they typically reach a large number of people. However, publicity generates the passive involvement of the people. In other words, though publicity informs the public of the planning process, it does not fully incorporate the public or necessarily gain a public response. Thus, publicity should be combined with other techniques to have effective involvement.

### **Public Education**

- ☐ Public education refers to techniques aimed at disseminating information so that residents can make informed decisions.
- ☐ Some public education techniques might include:

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## **Chapter 2: Organizing the IHP Development Process**

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- Public meetings – Public meetings are large gatherings at which key players and/or staff can inform the public about the planning project and receive valuable input from residents. These meetings can be held at different stages of the planning process.
  - Informational brochures – Printed materials, such as brochures, can be used to explain what the planning process is all about, what the schedule is and how the residents can become involved.
  - Dissemination of draft documents – Another way to “get the word out” about the plan and to get public feedback is to disseminate copies of the draft plan or overview of the plan to key people in the community. The dissemination could be combined with some sort of public input/comment period during which tribal and community members have a specified period of time to provide feedback on the plan.
  - Public speaking – Key staff persons or others involved in the planning process could utilize public speaking opportunities as a way to spread specific messages about the planning process. Speakers could use such venues as tribal council meetings or meetings of resident organizations.
- ☐ Public education will help the planning effort by giving the public the information they need to make informed decisions. However, public education only provides a limited forum for the public to voice its concerns over planning matters. Depending on the format of the meetings or the information provided, public education may have the negative potential to reach only specific population subsets.

### **Public Interaction**

- ☐ Public interaction refers to methods of facilitating the exchange of ideas and opinions between members of the public and those involved in developing and writing the plan. The primary method of public interaction is the public meeting or hearing.
- ☐ Public meetings or hearings require diverse representation, and should offer an open format in which community members can voice their opinions and concerns. Public interaction also requires an informed population – it thus works well in conjunction with other types of public outreach, including public education.

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- ☐ When considering public interaction as a method of outreach, consider whether public meetings or hearings will get the amount and diversity of informed views and opinions required of the community.

### **Public Partnerships**

- ☐ Public partnerships are techniques that offer residents a more formalized role in the planning and decision-making process.
- ☐ These types of techniques, due to their nature, are the most active in terms of involvement but usually involve the least amount of people compared to the others.
- ☐ There are many ways to approach public partnerships, including:
  - Task forces – A task force is a group of about nine people that guide the planning process and review/approve the planning document.
  - Committees and subcommittees – Committees and subcommittees are different from task forces in that they typically are established for the purposes of achieving a specific responsibility (such as identifying homeless needs and developing proposed solutions to homeless problems). Committees and subcommittees are typically small groups of persons with expertise or leadership skills in a particular area.
- ☐ Public partnerships may bring members of the public into the process in an organized and complete way. However, they may limit the number of public voices heard in the planning process. In determining if public partnerships will meet the public involvement needs of the recipient, consider whether the model can incorporate the views and concerns of the entire community.

### ***What to do if the IHP Process is Meeting Resistance***

- ☐ No matter how well the process is organized, the recipient is still subject to many challenges. One roadblock that sometimes comes up in the IHP process is that organizations, residents, or political leadership are resistant to the planning process. They may feel that their ideas are not being adequately incorporated in the development of the plan, or they may worry that the IHP process has limited the voices and concerns of other groups. They may feel that special interests are being over-represented, or they may feel that the views of tribal leaders are being under-represented.

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## **Chapter 2: Organizing the IHP Development Process**

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- ☐ If this happens, there are several strategies to deal with the resistance:
  - Reconsider – If the planning process is running up against considerable resistance, try to consider the source and nature of the resistance. If necessary, re-evaluate the process itself in light of the resistance.
  - Promote – Promoting the importance and intended results of the plan will help deal with resistance. Through the techniques discussed earlier, get the word out early and continually throughout the process.
  - Identify allies – Another strategy that can be used early in the planning process is to identify and gain the support of the key organizations and people that are crucial to the process. Resistance may come from these organizations and people if an effort is not made to bring these parties “on board”.
  - Expand the team – Involve the people or groups that are resistant to the plan. Give them a clear role to play and stress the importance of their involvement in the process. Everybody wants to feel like they are an important part of a team.
  - Move forward – Last, but not least, if other strategies are not working, it may be necessary to move on with the process despite the resistance. This may make the process more difficult, but sometimes not all issues can be resolved.
- ☐ There is no “one size fits all” answer to dealing with problems that arise during the planning process. However, knowing how to recognize these problems and deciding on an approach to addressing them will help to keep the process moving along.

### **PLANNING PROCESS OPTIONS**

- ☐ As mentioned previously in this chapter, a planning process is a way of thinking about how you want to organize your key players. Using a planning process will help you:
  - Manage the input and support of a wide variety of individuals and organizations.
  - Maintain a clear understanding of the roles and tasks assigned to your staff, the public, and other contributors.

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## ***Chapter 2: Organizing the IHP Development Process***

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- Utilize the people, time, and money in a way that best suits the recipient.
- ☐ Planning process models can be modified or combined to meet the particular needs of recipients.
- ☐ Some basic models for the planning process include:
  - **Task Force Model.** This model brings together representatives from a variety of backgrounds and organizations.
    - ⇒ Task forces typically include Tribal leaders and members, officials or representatives from schools, churches, business, and social service organizations.
    - ⇒ They tend to have nine or fewer members who are able to draw on larger communities and subcommittees.
    - ⇒ Task forces balance the input of views from a diverse population of high-ranking members, yet they may accidentally take control out of the hands of the recipient.
  - **Public Meeting Model.** This model solicits input through a series of public meetings that are generally led by one key official or agency.
    - ⇒ The meetings are used to collect information about housing needs and market conditions, and to discuss suggested goals and activities.
    - ⇒ Meetings can be held throughout the planning process at integral times such as the data collection stage, at the completion of the data analysis stage, and at the completion of the draft plan stage.
    - ⇒ Under this model, staff of the recipient actually develop and write the plan with maximum input from the community.
    - ⇒ Challenges may include whether the lead agency is able to ensure that public gatherings are diverse, creative, and productively focused on housing issues. Also, this model may create tensions or feelings of exclusion if not all of the suggested ideas can be included in the plan.

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## **Chapter 2: Organizing the IHP Development Process**

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- **Closed Door Model.** This model allows virtually all the control and planning activities to remain in the hands of the recipient.
  - ⇒ Under the closed door model, tribal staff is responsible for collecting and analyzing the data, establishing priorities and creating goals and objectives, and writing the plan.
  - ⇒ This model is only recommended for those recipients with very limited housing staff, or where the politics of housing are so contentious that a housing plan could not be developed any other way. Recipients opting for the closed door model should consider whether this type of model will build the partnerships with other agencies, nonprofit organizations, and the private sector that are necessary to undertake their programs.
  - ⇒ While this model is easy to facilitate and relatively fast to develop, it seeks very little external input, thus limiting the pool of ideas and solutions and possibly excluding and alienating certain parties and even the residents themselves.
- **Facilitator Model.** This model utilizes outside, hired, expert help in the researching and writing of the IHP.
  - ⇒ The facilitator assists with the process as a partner with a lead public agency, and brings to the process a demonstrated expertise in planning, data gathering and analysis, housing and community development, and/or tribal, State or local government operations.
  - ⇒ The facilitator might collect data; analyze data; create tables, graphs, maps, and charts; suggest strategies; propose resources and programs to implement strategies; and assist with writing the actual plan.
  - ⇒ The recipient develops the workplan; oversees the work being done by the facilitator; selects the priorities, goals, objectives and activities for the development of the plan; and assists in writing and reviewing the final planning document.
  - ⇒ Facilitators can offer time, attention, and ideas without the baggage of individual interest. However, their services are often expensive. In addition, relying too heavily on outside people can prevent staff and residents from developing their own

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## **NOTES**

## Chapter 2: Organizing the IHP Development Process

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experience and capacity for the future, and may decrease their sense of ownership of the plan.

- ☐ See Exhibit 2-1 for a summary of the advantages and disadvantages of the above planning models.

### Exhibit 2-1

#### Summary of Advantages and Disadvantages of Planning Process Models

Model Name	Advantages	Disadvantages
Task Force	<ul style="list-style-type: none"><li>+ Highlights involvement from a variety of people for a variety of tasks.</li><li>+ Can help to get important parties to "buy in" to the plan conclusions.</li><li>+ Can be a good balance between allowing input while keeping the number of actors at a manageable size.</li></ul>	<ul style="list-style-type: none"><li>– Loss of some control of the process.</li><li>– May require very skilled staff to keep the task force on target.</li><li>– Due to size restrictions, some parties may feel left out.</li><li>– Selection of <u>appropriate</u> task force members is critical.</li></ul>
Public Meeting	<ul style="list-style-type: none"><li>+ Asks everyone for their opinion.</li><li>+ Keeps all key decisions in the hands of the public agency.</li><li>+ Can help to ensure that the housing plan represents the needs and desires of the <u>whole</u> tribe.</li></ul>	<ul style="list-style-type: none"><li>– <u>Must</u> be well managed by staff.</li><li>– May not result in more than superficial input.</li><li>– May make it difficult to get outside concurrence.</li></ul>
Closed Door	<ul style="list-style-type: none"><li>+ Ease of facilitating and developing the housing plans.</li><li>+ Decision making chain of command is clear.</li><li>+ May make priorities easier to select.</li></ul>	<ul style="list-style-type: none"><li>– Doesn't promote interaction with outside experts or residents.</li><li>– Lack of input is likely to make it difficult to get outsiders to agree with final results.</li><li>– Assumes that the agency is capable of completing all planning tasks on its own.</li></ul>
Facilitator	<ul style="list-style-type: none"><li>+ Gives the benefit of outside expertise.</li><li>+ May help when agencies are short-handed or unskilled.</li><li>+ Allows for an unbiased, outside opinion.</li><li>+ Doesn't require long-term commitment.</li></ul>	<ul style="list-style-type: none"><li>– Agency staff and others may not "buy in" without giving input.</li><li>– Can be expensive.</li><li>– Does not develop in-house skills.</li></ul>

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## NOTES

## **MANAGING THE PLANNING PROCESS**

### ***Developing a Workplan***

- ☐ After having decided who will be involved in the IHP process, what methods to use to get public participation, and what the process will be, it is helpful to develop a workplan that will help in managing the IHP process.
- ☐ A workplan is a “plan to plan” that:
  - Outlines who is responsible for which piece of the plan and the time frames or deadlines for completing tasks.
  - Incorporates methods for getting public input as an integral part of the process.
  - Includes a schedule that is as realistic as possible.
  - Takes into account the level of resources available for the planning process – both dollars and time.
- ☐ The workplan should address or include three major elements:
  - A schedule.
  - A list of major assignments.
  - Names of who is responsible for each major assignment.

### ***The Schedule***

- ☐ A schedule is critical to keeping the IHP process on track and manageable.
  - Typically, some deadline or due date will dictate what the overall timeframe for developing the plan will be.

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## **NOTES**

## Chapter 2: Organizing the IHP Development Process

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- ⇒ For the IHP, this is 60 days before the start date of the tribe's program year.
- ⇒ From this deadline, work backwards and fill in key tasks and dates.
- The schedule should be detailed enough that persons involved in the planning process are clear as to what tasks should be completed, by whom, and by what date. This schedule shows mileposts. The other elements of the workplan show what and who.
- ⇒ Remember to include dates or periods of time for public input, if provided for in the planning process (such as public meetings, advertisements, public comment periods, etc).
- The schedule should be as realistic as possible. Keep in mind the following:
  - ⇒ The data collection and writing processes tend to take the longest. Keep in mind also that a process that involves a large amount of public participation requires more time and effort than a process, which does not involve as many people or meetings.
  - ⇒ If there are contentious issues, resolving these may take a long time. Plan ahead and leave enough time to get the job done, assuming that delays will occur along the way.
  - ⇒ If this is the recipient's first time doing a housing plan, or the staff is inexperienced, allow some time for "getting up to speed" or for identifying facilitators to help with the planning process in some way.
- Try to adhere to the schedule as closely as possible. While flexibility allows for delays or "snags" in the process, consistently not following the schedule can result not only in a loss of precious time but also credibility.



### How Long Does it Take?

Organizing the process – a few days to a week

Collecting and analyzing data – several weeks

Setting priorities – several days to several weeks, depending on the process you use

Writing the plan – at least a couple of weeks

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## ***Chapter 2: Organizing the IHP Development Process***

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### ***Assignments***

- ☐ The workplan should also address who does what. Some tips:
  - Clarify roles in the workplan.
  - Be clear and specific about who is supposed to carry out what tasks.
  - Where necessary or appropriate, address how tasks will get done (i.e., what staff is needed, how will you pay for outside or temporary help).
- ☐ While there are many different types of processes useful for carrying out the planning process, the data collection/analysis and writing are done more efficiently by one or two people and not by a whole group.
  - Data collection and preliminary analysis is often done by in-house staff. Staff of other agencies may contribute information specific to their agency or field of work.
  - Often the director of a housing agency will actually write the plan or delegate the task to one or more key staff members.
- ☐ Deciding who should do what will depend upon the size and experience level of the staff, as well as the amount of time allotted for the writing process.
  - For example, if there are only one or two people on the staff with the ability to write the plan, they will probably be asked to write the whole plan. If there are more than one or two persons, the plan could be divided up according to expertise and availability.
  - If enough time exists, one or two people working over this period of time (several months) may be sufficient. On the other hand, if there is only one month to write the plan, the support of several people may be required in order to get the plan done in time.
- ☐ When trying to determine specific assignments, keep in mind the following:
  - Individuals with planning experience or knowledge, as well as a basic understanding of Indian housing programs, are integral.

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## ***NOTES***

## Chapter 2: Organizing the IHP Development Process

- Emphasis should be placed on persons with good analytical and writing skills.
- Guidance on who should write what piece of the housing plan is critical (see Exhibit 2-2).

Exhibit 2-2

### Guidance on Who Should Write What Piece of Your Housing Plan

Element of the Plan	Who?			Needed Skills and Experience
	Director	Staff	Other*	
Five Year Plan				
Mission Statement	X	X	X	Can be done by a group, such as a task force, or by an individual. If one person, must be able to accurately reflect group input. If a group, consider using a facilitator to reach consensus.
Goals and Objectives	X	X		Best written by the housing director or staff. If staff, must have “big picture” of housing needs, programs and policies, or clear direction and guidance from the director or other leadership. (Should get feedback from the public.)
Activities Plan	X	X		Same as above.
One Year Plan				
Goals and Objectives	X	X		Best written by the director or staff. If staff, must have “big picture” of housing needs, programs and policies, or clear direction and guidance from the director or other leadership.

## NOTES



## Chapter 2: Organizing the IHP Development Process

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Element of the Plan	Who?			Needed Skills and Experience
	Director	Staff	Other*	
<i>Description of Housing Conditions and Needs</i>	X	X	X	Should be written by qualified staff of the agency or other agencies. Persons need planning, data gathering, and analysis skills. In certain circumstances, the Director may be responsible for writing this piece.
<i>Description of Resources</i>	X	X	X	Staff or other writer should have knowledge of, or ability to obtain information on housing and financial resources. In certain circumstances, the Director may be responsible for writing this piece.
<i>Description of Coordination and Cooperation</i>	X	X		Requires someone that can forge relationships for implementing the plan. Have to accurately describe how the plan will be carried out.

- ☐ Remember that if a group process (such as a task force or committee) is used to develop ideas and to guide the planning process, whoever writes the plan will need to be able to accurately document decisions that are made.
  - Be clear about who has managerial or oversight responsibilities. Staff should be given concise directions on whom to submit work to and by what date.
- ☐ The category of “other” refers to staff of other departments or agencies that have the skills and ability to write parts of the housing plan for the recipient. An example might be a staff person at Indian Health Services who could obtain and analyze data sufficiently to write the section on persons with mental illness or substance abuse problems in need of housing assistance and related supportive services.

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## NOTES

## **LIST OF ATTACHMENTS**

Attachment 2-1: Sample Survey of Organizations, Agencies, and Businesses

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## **NOTES**



**Attachment 2-1: Sample Survey of  
Organizations, Agencies and Businesses**



## **ATTACHMENT 2-1: SAMPLE SURVEY OF ORGANIZATIONS, AGENCIES AND BUSINESSES**

**WHO DOES WHAT IN AFFORDABLE HOUSING?**

**A SURVEY OF ORGANIZATIONS, AGENCIES AND BUSINESSES**

The Tribe of \_\_\_\_\_ is developing an Indian Housing Plan (IHP). A plan is required for all tribes receiving housing funds from the U.S. Department of housing and Urban Development. Part of our planning process includes finding: who does what related to housing and services, how much of it do they do, and where do they do it.

Please help us by completing the enclosed questionnaire and returning it to:

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Name of Agency: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Name of Contact Person: \_\_\_\_\_

1. My organization is a:

- |                                     |  |  |
|-------------------------------------|--|--|
| <input type="checkbox"/> Non-Profit | <input type="checkbox"/> Local public Agency | <input type="checkbox"/> Other (explain below) |
| <input type="checkbox"/> For profit | <input type="checkbox"/> State Public Agency | _____  |

2. The total number of full time employees is: \_\_\_\_\_

3. The principal activities of my organization are (check all that apply, star those that are primary):

- ☐ Housing finance
  - ☐ single family
  - ☐ multifamily
- ☐ Housing counseling
- ☐ New housing development
  - ☐ for homeowners
  - ☐ for renters
- ☐ Property Management
- ☐ Housing Rehabilitation
  - ☐ for homeowners
  - ☐ rental property
- ☐ Housing program administration
- ☐ Social service program administration
- ☐ Philanthropic
- ☐ Operate shelter for the homeless
- ☐ Provide meals/services for the homeless
- ☐ Other (Please list)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Please describe the activities of your organization in one or two paragraphs.

5. The approximate income of those we serve is:

- ☐ Above 80% of the area median income
- ☐ Between 50% and 80% of the area median income
- ☐ Below 50% of the area median income

6. The geographic focus of our activities is:

- ☐ State wide
- ☐ Jurisdiction wide
- ☐ Neighborhood specific (please list areas):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- ☐ Other

7. The racial/ethnic composition of our clients is:

- ☐ % White
- ☐ % Black
- ☐ % Hispanic
- ☐ % Native American
- ☐ % Asian
- ☐ Not applicable
- ☐ Not available

8. We focus on the following populations with special needs:

- ☐ No special needs focus
- ☐ Elderly
- ☐ Frail Elderly
- ☐ Homeless with disabilities (drug, alcohol, etc.)
- ☐ Families with children
- ☐ Persons with AIDS and related diseases
- ☐ Non-homeless persons with disabilities (drugs, alcohol, etc.)
- ☐ Others (please list)

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9. Please indicate your volume of activity. Your answer will depend on the type of activities you perform and how you measure your workload. For example:

Number of loans closed each year  
Number of properties rehabilitated  
Number of units/projects newly constructed  
Number of people receiving counseling

_____	_____
Unit of measure	Number
_____	_____
Unit of measure	Number
_____	_____
Unit of measure	Number
_____	_____
Unit of measure	Number

10. What are your plans for the next couple of years? Check the box that most reflects your organization's plans:

- ☐ Continue to do what we have been doing at a similar volume.  
☐ Continue to do what we have been doing, but at a reduced volume.  
☐ Continue to do what we have been doing, but at an increased volume.  
☐ Change our activities (please indicate how, below).  
☐ Other (describe below).

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11. List the federal or state housing programs that your agency has experience with:

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## CHAPTER 3: DEVELOPING AN EFFECTIVE IHP

This chapter will discuss the basic concepts for writing an effective IHP, including:

- ☐ How to form the tribe's vision for the future.
- ☐ Tips on collecting data.
- ☐ How a correct analysis of the data helps develop solutions for the tribe's housing needs.
- ☐ Tips for identifying appropriate resources.
- ☐ Some useful tools in evaluating priorities and making decisions.

### INTRODUCTION

- ☐ The strength and effectiveness of the IHP relies on how well a recipient applies the following strategic planning steps when developing its IHP. It is critical that these steps are followed in the order listed below.
  - Form a vision.
  - Collect data on demographics and housing stock.
  - Determine needs by assessing data.
  - Develop a strategy.
    - ⇒ Identify resources.
    - ⇒ Analyze potential uses of resources to address needs.
    - ⇒ Set priorities.
    - ⇒ Make decisions and translate into:
      - Five year goals.
      - Five year objectives.

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### NOTES

### **Chapter 3: Developing an IHP**

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- One year goals (that are a subset of five year goals).
- One year objectives.
- Performance objectives.

☐ In subsequent years, recipients should:

- Evaluate performance and outcomes.
- Re-assess needs and resources.
- Analyze potential uses of resources.
- Make decisions strategically.
- Translate decisions into:

⇒ One year goals (that are a further subset of the five year goals).

⇒ One year objectives.



#### **Tip!**

When beginning to develop an IHP, use the suggested steps listed here. It is important to remember that the order of the IHP components listed in the IHP outline is not the order one follows to produce an IHP.

### **FORM A VISION**

- ☐ A solid Indian Housing Plan requires the clear understanding of the short- and long-term housing needs of the community. One way to ensure that these housing needs are met in a way that best fits the interests of the community is to develop a vision.
- ☐ A housing vision describes what it would mean for all housing needs to be met: what types of housing would exist, where it would be built, what it would look like, who it would house, and how many of each sort of unit. There are no limitations to a vision. It is the perfect situation. In planning, start with a vision knowing it may never be fully realized, but that limited resources can be strategically applied to move toward the formed vision.

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### **NOTES**

### **Chapter 3: Developing an IHP**

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- ☐ In creating a vision, ask the following questions:
  - What is the outcome wanted? What will the community look like when all its housing needs are met?
  - What types of housing will exist? Most communities need housing that serves different needs for different people such as:
    - ⇒ The architectural needs of housing built for the elderly.
    - ⇒ The location needs of housing built for student populations.
    - ⇒ The amenity needs of housing built for people with disabilities.
  - Where will the housing be located?
- ☐ A vision is a snapshot of the community as it should look when it fully meets the housing needs of the community. The goals that are set as part of this vision should reflect the changes that need to be made to the current situation. Goals cannot be determined in a vacuum; they must be based on existing circumstances.
- ☐ Throughout the creation of the plan, goals and activities should be consistent with the vision you establish. The vision will then be in alignment with the needs of the community.

### **COLLECTING DATA**

- ☐ Comprehensive and accurate data collection is vital to writing an effective IHP. The data are an important part of the palette from which the portrait of the community must be painted. However, for a realistic picture, this data must be timely, accurate, reliable, and useful. Beware of collecting data from inaccurate sources that may unintentionally alter the recipient's portrait.
- ☐ Accurate data will help to:
  - Identify areas and programs that need additional assistance.
  - Verify needs to potential funders.

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### **NOTES**

### ***Chapter 3: Developing an IHP***

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- Identify programs that have been a success for the tribe.
  - Identify population groups that have been neglected in the past.
  - Provide the framework for the housing and community proposal.
- ☐ Inaccurate data may:
- Identify needs that do not exist.
  - Misrepresent housing preferences.
  - Give an unrealistic/exaggerated portrayal of projects that were not successful.
  - Undermine the housing plan.

#### ***Types of Information***

- ☐ As stated above, good data will help paint an accurate portrait of the community. Yet, imagine an accurate portrait that used only one color: The picture might be clear and “correct,” but it would not be as rich as it could be. Different types of data are the colors of the recipient’s portrait. Making sure different types of information are used in the IHP will give the portrait depth and vibrancy.
- ☐ Data is used in different places for different reasons throughout the IHP. Sections in the plan that require data are:
- Certain IHP components, including, but not limited to the following:
    - ⇒ Statement of Needs.
    - ⇒ Financial Needs.
    - ⇒ Affordable Housing Needs.
- ☐ It is also a good idea to take into account a broad array of information in plan development. The types of data used in the plan will depend on the specific issues and pictures that should be illustrated. Choose the data that best suits the audience and the purpose.

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- For example, data to verify and quantify needs for special needs units, data to demonstrate need to reduce lead-based hazard or radon hazard, data to demonstrate need for assisting-living units.

#### ***Collecting Existing Data: The Sources***

- ☐ There are three major categories of data worth considering. These are:
  - Hard data.
  - Soft data.
  - Financial data.
- ☐ Data from all categories should be used throughout the plan. However, different data can be used in different ways. For example, hard data might be the number of people who stayed at a homeless shelter over the course of a year, whereas soft data might be interviews with community leaders who might explain the problem of homelessness as a result of changes in required worker skills. Both types of data can be used to discuss the extent and the causes of homelessness.
- ☐ The sources of data – hard, soft, and financial – used to assess the recipient's housing, may come from within the tribe. Data can also come from outside. Typically, pre-existing hard data will come from outside, and soft data from inside the tribe.
- ☐ It may be necessary to consult a variety of data sources to obtain the needed information. Combining the various types of data help paint the whole picture of the community.

#### **Hard Data**

- ☐ Hard data are what most people think of when “data” is mentioned.
  - Hard data are the information you get from places like the Census Bureaus and state data centers.
  - This form of information reports data in terms of statistics.
  - It will provide the statistical significance of a topic.

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⇒ For example, hard data would report that 50 percent of the tenants moved out of their homes in the XYZ Tribe within the past year.

☐ Some outside sources of hard data include:

- Indian Housing Authority.
- U.S. Census Bureau.
- Bureau of Indian Affairs.
- Indian Health Service.
- U.S. Department of Housing and Urban Development (HUD).

☐ Some inside sources of hard data may include:

- Previous IHPs, APRs, or other plans and reports.
- Relevant tables or charts in local newspaper articles.
- Copies of housing reports from local schools, colleges, committees, or boards.

☐ See Attachment 3-1 for a complete outline of the resources these agencies may be able to provide.

### **Soft Data**

☐ Soft data are what most people consider to be “subjective” information.

- Soft data are the “pulse” (that is, opinions, concerns, etc.) of the tribe.
- This form of data helps incorporate the way people “feel” about a given topic into the plan.

⇒ For example, soft data would report that 50 percent of the tenants moved out of XYZ Tribe because they were unhappy with the condition of their properties.

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### **Financial Data**

- ☐ Financial data includes any data that answers questions about funding sources and commitments, costs, and budgets. Financial data can be gathered from budgeting offices, banks and lenders, and federal sources (see Attachment 3-1F). Financial data might include:
  - Copies of any and all reports that include information on the financial status of the recipient's programs, including:
    - ⇒ The complete list of sources of funds for IHBG activities.
    - ⇒ The total amount of funds committed and expended during the previous grant year.
  - Information on reserves, cost overruns, or investments.
- ☐ Financial data are necessary for budgeting because it gives a clear picture of the amount of existing funds and funding needed to operate programs.

### ***Ways to Collect Data***

- ☐ The most reliable data can often be obtained by "doing it yourself" -- conducting needs assessments. At a minimal level, a tribe-directed needs assessment can supplement the use of other databases. Some ways to collect data are:
  - Conducting Surveys.
    - ⇒ The most common method of conducting a needs assessment is through a survey of residents in the Indian area. Surveys can be specially designed to determine:
      - Housing conditions.
      - Housing needs.
      - Housing preferences.

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- ⇒ Surveys can be individually tailored to an Indian area in order to collect specific data that is unlikely to be found anywhere else. Residents can be asked to identify issues like:
  - Housing unit conditions needing repair or improvement, including;
    - ✓ Insulation.
    - ✓ Heating or air conditioning systems.
    - ✓ Exterior siding/paint.
  - Financial barriers to homeownership such as;
    - ✓ Downpayments and closing costs.
    - ✓ Absence of lending opportunities.
    - ✓ Bad or no credit history.
- ⇒ Surveys and needs assessments are also key to looking at the tribe's housing situation from the perspective of the persons living in the area. Residents can be asked to identify:
  - Satisfaction with current housing.
  - Impediments to elderly or near-elderly household members securing accessible housing.
  - Impediments to off-reservation families wishing to relocate onto reservations.
  - Personal and financial impact of local economic enterprises.
- ⇒ For the purposes of collecting data, surveys can generally be divided into two broad categories:
  - Written, mail-in, or drop-off surveys — surveys that the respondent completes with pencil and paper, including:

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- ✓ Mail surveys.
- ✓ Group-administered questionnaires.
- ✓ Household drop-off surveys.
- In-person or telephone interviews — surveys that the respondent completes by talking with an interviewer.
- Holding Community Meetings.
  - ⇒ The most inclusive method of obtaining “soft” data and personal input from residents is holding a community meeting on the tribe’s housing conditions and needs.
  - ⇒ Community meetings can be used to:
    - Solicit maximum input from the community.
    - Ensure that the housing plan represents the needs and desires of the whole reservation or Native village.
    - Serve as the basis for encouraging future community participation and input.
    - Address concerns close to the heart of those attending.
    - Exchange views and ideas among different members of the community who might not have otherwise interacted.
  - ⇒ Organization is key to a successful community meeting. Before holding a community meeting, consider the following steps:
    - Develop a strategy for how the meeting should be run.
      - ✓ Determine the data that needs to be collected.



### Community Meetings

The benefits of community meetings can go far beyond simple information gathering. You may find that holding periodic community meetings are a great way of building trust and cooperation between community residents and tribal leadership.

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- ✓ Design a tentative agenda that will allow residents to feel they are participating effectively.
- ✓ Brainstorm issues that residents will want to discuss.
- Get the word out -- find the method that is most likely to attract a healthy and diverse segment of the community.
  - ✓ Post a notice in a tribal newspaper.
  - ✓ Mail notices to residents.
  - ✓ Call residents directly.
- Determine how to collect and incorporate information and comments from the meeting.
  - ✓ A sample community meeting agenda is provided in Attachment 3-2.
  - ✓ For more information on how to successfully incorporate public input, see Chapter 2 of this manual.
- Search the Internet
  - ⇒ The Internet contains a wealth of information, much of which can be accessed faster and easier than the more traditional methods of collecting data.
    - The most basic method of “browsing the Internet” is using search-engines.
      - ✓ A search-engine allows a user to type in a keyword or phrase, which the browser then uses to find relevant Web pages.
      - ✓ Most Internet browsers give the user access to four or five “search-engines.” Because different search-engines use different methods of retrieving information on Web pages, it is a good idea to try all of them to see which one works best.

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- ✓ Some popular search engines sites include <http://www.google.com>, <http://www.yahoo.com>, <http://www.excite.com>. Google lists search results by the number of links that point to the pages. Some search engines exist to help you search the search engines. For example, <http://www.searchengineguide.com/>.
- ✓ Some Web pages use their own “search engines” to look up very specific information.
- ✓ Predictably, different keywords yield different results.

⇒ However, browsing through general information by keywords can sometimes be time consuming. Begin the search by exploring the useful Internet sites provided below.

- Before checking these sites, note that each Web page is accessed by typing in its “URL” address -- similar to a phone number.
- For example, the U.S. Census Bureau’s Web Site, located at <http://www.census.gov>, contains a search-engine for Census information and publications. This site includes:
  - ✓ The 1990 Census LOOKUP Page at <http://www.census.gov/cdrom/lookup>, which includes a search engine for looking up specific Census data by Indian area.
  - ✓ “CenStats,” which contains publications featuring statistical information on such topics as population and housing.
  - ✓ Complete listings of CD-ROMs available from the Census Bureau.
- Another helpful site might be HUD USER Web page, located at <http://huduser.org>. This site includes a search-engine that can find publications related to Indian housing.

**2000 Census Data**

The Census Bureau will be releasing new 2000 Census data in the upcoming months. Utilizing the most current Census data can assist tribes in accurately reporting data in their IHPs. For 2000 Census data, visit the information tables at [www.census.gov](http://www.census.gov).

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- Another site to try is the Federal Depository Library Program Web page, located at [http://www.access.gpo.gov/su\\_docs/locators/findlibs/index.html](http://www.access.gpo.gov/su_docs/locators/findlibs/index.html). This site is provided by the “GOP Access” network. It contains a search-engine, which can be used to find depository libraries by state and area code.
- Another web tool is Geographical Information Systems (GIS) Mapping Web pages. GIS maps can be downloaded to organize and examine data of various kinds relating to location. Helpful related Web pages include the following:
  - ✓ “Maps of Native American Nations”:  
<http://www.kstrom.net/isk/maps/mapmenu.html>.
  - ✓ Map of Native American state populations (estimates from the 1990 Census).
  - ✓ Map of state population (for comparison).
- Also, the “Government Information Sharing Project” home page contains a search engine at <http://govinfo.kerr.orst.edu/cgi-bin/aian-state>, which allows users to instantly obtain housing, social, and economic data for specific Indian areas.
  - ✓ The Census data that can be obtained includes the same data included in the Census Bureau’s CD-ROM “CD-DEC90-STF3C: Housing Characteristics for American Indian and Alaska Native Areas.” (For information on this data, see the description of the U.S. Census Bureau under “Data Sources -- An Overview.”)
- Most HUD forms that are currently in use can be downloaded from the Internet at <http://www.hudclips.org>, which includes the final version of the Indian Housing Plan (IHP). [http://www.hudclips.org/sub\\_nonhud/html/pdfforms/52735.pdf](http://www.hudclips.org/sub_nonhud/html/pdfforms/52735.pdf)
  - ✓ To read and print the forms, first download and install an Adobe Acrobat Reader (a standard application program for printing forms compressed in a “.pdf” format), which can be downloaded at <http://www.adobe.com/products/acrobat/readstep.html>
  - ✓ This site, at <http://www.hudclips.org>, includes a useful search engine for locating HUD Forms by both form number and key word.

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- The Government Printing Office Web Site, at <http://www.access.gpo.gov>, contains a search engine for locating material printed in the Federal Register, such as the NAHASDA legislation and relevant transition notices.
- The Codetalk Web Site, located at <http://www.codetalk.fed.us>, offers a variety of information from ONAP on Indian housing, including updates, reference material, and Web Site links regarding NAHASDA.
- The NAHASDA Indian Housing Plan Homepage, at <http://www-domino.hud.gov/ihp/newhome.nsf>, contains information and instructions on submitting the IHP electronically. (For more information, see Chapter 6 of this manual.)

- ☐ See Attachment 3-3 for a comparison of the pros and cons of using the above methods of data collection.

### ***Unlocking Closed Doors: Getting Missing Data***

- ☐ Data collection is not always easy. Unique characteristics of the tribe may not be reflected by any one data source. Getting missing data often involves asking the right questions, using common sense, and having some luck.
- ☐ Some data will be harder to find than others. When finding data is difficult, consider these options:
  - Ask advice even from unlikely data sources. For example, a state data center may not have the necessary statistical information, but it can help point a tribe in the right direction.
  - Determine if the information sought is reflected by other data. For example, the extent of homelessness in the tribe may not be reflected by the number of homeless beds, but by the extent of overcrowding.
  - If traditional data sources are not working, consider conducting a needs survey. For example, if determining the impediments to homeownership with the collected data is not possible, consider conducting a survey that asks tenants themselves why they are unable or unwilling to become homeowners.

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- ☐ Like data itself, some data sources may be harder to work with than others. If there is resistance from a data source, consider these options:
  - Involve the source as a partner. For example, if an IHA is reluctant to provide the recipient information, allow the IHA to write a portion of the IHP in exchange for providing waiting list data.
  - Request pressure from a higher authority. For example, enlist the aid of a Tribal Council member to persuade a data source to provide the valuable information.
  - Talk to others submitting an IHP. Many other recipients will be glad to provide tips on collecting housing data. For example, if the difficulty is getting information from IHS, ask another recipient how, or from whom, they got the data.
- ☐ Sometimes it will be necessary to consult data sources that are either traditionally not thought of or unavailable to most tribes. Some alternative data sources include:
  - Demographic surveys conducted by local or State universities and institutional learning centers.
  - State housing finance agencies and local charitable organizations.
  - Statistics provided by state departments of commerce, labor, or tourism.
  - Area loan officers or other persons/entities that might have detailed knowledge of area housing needs and market conditions.
- ☐ Once data has been gathered, proper analysis can turn it into information that can be used to set priorities and make housing plan decisions.

#### ***The Importance of Accurate Data Analysis***

- ☐ As stated previously, understanding the housing needs and coming up with solutions relies on an accurate analysis of data.
- ☐ Data by themselves are useless--unless they are properly analyzed. While raw data help take a "snapshot" of the tribe's population and housing inventory, data analysis allows for the painting of a detailed picture of the tribe's housing conditions and needs.

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☐ Accurate data analysis:

- Is a tool to help prioritize which issues need to be addressed.
- Enables planning for the future by determining consistent patterns or emerging housing trends.
- Prevents the concentration of valuable resources on minor or imagined housing needs.

☐ Poor data analysis can affect even well-designed housing programs.

#### ***Methods of Analyzing Data***

☐ Analyzing data can be tricky. It often involves simple trial and error.

☐ Remember some of these general rules:

- Use data to identify “hot spots” or major areas of concern.
- Gather data from previous years to find trends or changes in the community. Compare present to past data to confirm or refute current perceptions.
- Analyze the meaning of the data collected. Constantly ask, “What is this telling me?”
- Standardize numbers and be consistent in their use to minimize mistakes.
- Do not analyze in a vacuum – even if only comparing two variables, remember that they affect and are affected by other variables.
- Reduce the complexity – break down numbers, make a picture or graph, and keep the narrative and charts simple to understand.

☐ Typically, data analysis involves spotting a correlation between housing data on one hand, and economic or social characteristics on the other.

- Comparing population counts and the number of existing housing units can reveal the need for available housing.

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⇒ For example, to measure the extent to which overcrowding needs to be addressed compare the average family size with the average unit size.

- Note that overcrowded is defined in the Indian Housing Plan instructions as households with more than 1.01 persons per room.

- Look at other characteristics of overcrowded units. Are certain types of households (age, income) more likely to be overcrowded?

- Comparing income of families to the price of housing units can reveal the need for affordable units.

⇒ For example, to analyze whether tenants of rental units are paying too much for housing compare the average monthly income of renters to average monthly rental payments to see if tenants are rent burdened.

- Comparing housing needs with levels of program funds can reveal which activities should be better funded and which activities should be dropped.

⇒ For example, to determine whether there are enough housing units tailored to groups with special needs, compare the number of persons with special needs with the availability of units fit to accommodate these needs.

- ☐ After a thorough analysis of the data, try to describe what they mean for the recipient's housing needs and for planning strategies.

- Recognizing a shortage of housing for disabled persons might mean a decision to subsidize rents in housing for persons with disabilities.
- Noticing a trend in high rents among the elderly might mean a decision to fund a project that provides units for elders.

- ☐ Accurate use of data can help identify the most pressing needs and the best use of limited resources in the community.



#### Potential Homelessness

Use the number of overcrowded units as an indicator for the number of potential homeless persons. Sometimes persons reside in overcrowded conditions because they cannot afford to live in any other type of housing unit; such persons may be on the verge of homelessness.

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- ☐ For more tips on how to work with data, including a “refresher course” on the math basics involved in data analysis, see Attachment 3-4. For helpful hints on how to present data, see Attachment 3-5.

### **DETERMINE NEEDS**

- ☐ In order to identify which housing needs are most pressing, first gain a thorough understanding of the current situation.
- ☐ In looking at the current housing situation in the community, the analysis of direct observations is a key tool that helps define the housing challenges the recipient faces. It may be helpful to:
  - Do a thorough investigation of the status of housing in the community.
  - Consider what the findings reveal. Data analysis will help match hard facts and observations to identify and quantify the housing challenges or gaps in the community.

#### ***What are the Housing Needs of the Community?***

- ☐ In trying to determine the housing needs of the community, an assessment of the current housing market provides much insight. To do an assessment, try the following exercises:
  - Find examples of housing that successfully meets the community’s needs; determine the situations in which the housing market thrives. Knowing the factors that positively affect the housing market will affect the goals of the plan.
  - Look for existing inadequate or deficient housing in the community. Check to see if older housing is in disrepair. This may indicate a deficiency in stock or gap in the housing market.
  - Consider other missing pieces and empty slots. Look for gaps in construction and property management. Assess the status of vacancies in the community. Try to determine if any specific populations are being under-served by the housing market.
  - Search for the differences between people and populations whose housing needs are being met and those whose needs are not being met. This might help define a problem.

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- Evaluate the housing structures and architecture in the community. Define which are appropriate and enduring and which are inappropriate. This will help ensure that future housing is both environmentally applicable and culturally relevant.

## **DEVELOPING THE STRATEGY**

- ☐ Collecting and analyzing data is an initial step in developing an effective IHP. Next, tribes must determine what to do with the data and make key decisions on how to deal with needs and problems that data reveals. These stages include:
  - Identifying solutions.
  - Identifying possible resources.
  - Setting priorities.
  - Making decisions.
  - Determining who should be involved and informed.
- ☐ Each of these steps is described below.

### **Identify Solutions**

- ☐ Accurate use of data is quite helpful in determining solutions to housing challenges. However, data analysis is not the only factor in identifying solutions. Coming up with possible solutions requires:
  - A clear, analysis-supported understanding of housing needs.
  - The ability to be flexible.
- ☐ Flexibility means identifying a number of possibilities as potential solutions. These options can be weighed and compared against each other.
- ☐ When thinking about the community's housing needs, possible solutions may include:



**Be creative!** Not all solutions are straightforward. New innovations may solve housing challenges.

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- Repairing or rehabilitating existing housing.
  - Altering existing housing to meet new needs.
  - Linking services.
  - Developing additional housing.
- ☐ The people in the community are often the greatest resource in meeting the challenges of problem-solving. Don't rely solely on government officials, tribal leaders, and members of the IHP working groups to identify possible solutions.

#### ***Identify All Possible Resources***

- ☐ Searching for all the necessary resources to address housing problems can be a long and difficult process. However, the results of a complete and thorough search are worthwhile.
- ☐ Resources include funding, time, and skills of experts, developers, and other individuals and organizations. It is necessary to combine resources provided by IHBG funds with resources within the tribe, and also resources elsewhere.
- ☐ When searching for resources, consider the types of support that various entities may be able to provide.
- Talk to people.
    - ⇒ Tribal leaders may be able to offer leadership support.
    - ⇒ Lenders may be able to support and fund programs or projects.
    - ⇒ College faculty may have data and analysis skills to support development.
  - Explore the institutions and foundations internal and external to the tribe.
    - ⇒ National nonprofit organizations may be able to offer technical assistance or funding.
    - ⇒ Local charities may be able to contribute time and other resources.

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- Search the Internet.

#### **Set Priorities**

- ☐ Possible solutions to the community's housing challenges are potentially infinite in number. Unfortunately, the constraints of time, money, and skill resources necessitate the selection of housing priorities, so that the most work, or the most important work, may be accomplished with the available resources.
- ☐ In setting priorities, try to do the following exercises:
  - Determine which population(s) experience the greatest deficiency or need in housing.
  - Note the population(s) or community that has not been served recently.
  - Determine which projects can serve the largest number of people under limited resources.
  - Consider any unique opportunities that exist under the current circumstances of the recipient that make certain projects more relevant or necessary currently.
- ☐ Determining the answers to these questions will help to prioritize needs.

#### **Make Decisions – Set the Goals**

- ☐ After prioritizing needs, it is helpful to compare them with the available resources and potential projects. Undoubtedly there will be more housing projects than available resources. Answering the following questions may help in making the right decisions.
  - How many activities and projects from the list can be accomplished?
  - Are there issues of timing that make certain projects more favorable than others?
  - What is the best use of the resources?
- ☐ Unfortunately, it will be necessary to reject or delay certain projects. The process of decision-making is hard work. The most helpful tool is an ability to prioritize depending on

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needs and goals. Making these decisions will help ensure that the most useful projects are proposed in the IHP.

- ☐ Write the decisions into goals and then write the objectives that lead to each goal.

## **EVALUATE PROGRESS, MAKE ADJUSTMENTS**

- ☐ As the plan goes into effect, it is helpful to constantly evaluate progress and adjust to changes. At mid-year and year-end, check the plan for the following features:
  - **Workability.** Can the plan be put into effect? If not, consider the barriers in place and devise a new approach.
  - **Purpose-meeting.** Are the projects having the desired effects? If projects in the housing plan do not bring about their intended goals, it may be worthwhile to figure out what happened instead. For example, if a new homeless shelter does not decrease the community's homeless population, ask why. Perhaps the homeless community does not want a shelter, but needs a different type of support.
  - **Changing needs.** The housing that the recipient needed five years ago, or even five months ago, is not necessarily what it needs now. Be ready to constantly evaluate the changing needs in the community.
- ☐ As these questions come up, be aware that the original plan may not adequately solve the challenges it was designed to solve. Be flexible and willing to make adjustments to the plan in the following ways:
  - Refine the schedule.
  - Refine the plan of action.
  - Refine the program and projects.
- ☐ Remember that the long-term goal is not to create an IHP, but to use this plan to meet the community's housing needs. Adapt and be flexible as new challenges arise.
- ☐ The rest of this manual will go into greater detail on the actual writing of the IHP.

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## **NOTES**

## **LIST OF ATTACHMENTS**

Attachment 3-1: Data Sources. Includes sub-attachments:

- A. Data Sources
- B. Sample housing needs surveys
- C. Phone directory of Census Regional Offices
- D. Phone directory of data centers (by state)
- E. Sample Information from 1990 Census
- F. Sample Information from the 1995 BIA Labor Force Report
- G. Sample mail survey

Attachment 3-2: Sample Community Meeting Agenda

Attachment 3-3: Pro/Con Table for Data Collection Methods

Attachment 3-4: Tips for working with Data

Attachment 3-5: Presenting Data

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## **NOTES**



## **Attachment 3-1: Data Sources**



## **Attachment 3-1A: Data Sources**



# ATTACHMENT 3-1A: DATA SOURCES

A tribe may need to consult a variety of data sources to obtain the information it needs. The helpfulness of the following types of data sources will vary from one tribe to the next.

## Indian Housing Authority (IHA)

IHAs which are considered TDHEs may manage housing under NAHASDA. IHAs are valuable data sources because they can provide information about your own individual tribe.

❑ IHAs have several instruments for collecting data, such as:

- Waiting lists,
- Physical needs assessments for the Comprehensive Grant Program (CGP) or Comprehensive Improvement Assistance Program (CIAP),
- Voluntary needs assessment surveys conducted by individual IHAs, and
- Tenant family data forms submitted to HUD.

❑ IHA waiting lists reflect the demand for assisted housing. Applications for housing are individually designed by the IHA, and often include the following types of data:

- Social and economic characteristics of families needing housing:

- ⇒ Number of families needing housing;
  - ⇒ Size of families;
  - ⇒ Number of elderly and near-elderly families;
  - ⇒ Number of households with school-age children (ages five-17);
  - ⇒ Number of young households (adults ages 25-34);
  - ⇒ Number of single parent heads of households (households with one parent and children under age 18);
  - ⇒ Incomes of families; and
  - ⇒ Monthly rent payments of families.
- Housing characteristics of families needing housing:
    - ⇒ Number of families without housing,



### Waiting Lists

IHA waiting lists are helpful because they often provide data that cannot be found elsewhere. For example, unlike Census data, an IHA may require applicants to indicate whether their housing units lack adequate heating or electrical facilities.

- ⇒ Number of families living in substandard housing,
  - ⇒ Number of families living in overcrowded conditions, and
  - ⇒ Number of families living with inadequate heating or electrical facilities.
- ☐ Some IHAs voluntarily conduct housing needs surveys. Such surveys can reflect detailed characteristics of an Indian area, including:
- Population data,
  - Housing preferences, and
  - Utility needs.
- ☐ Examples of four housing needs surveys are provided in Attachment 3-1b.
- ☐ IHAs were required to conduct physical needs assessments for units funded by the Comprehensive Grant Program (CGP) every five years. CGP needs assessments include:
- Number of buildings containing dwelling units,
  - Number of vacant units, and
  - Bedroom distribution (number of units for each bedroom size).
  - Development type:
    - ⇒ Rental;
    - ⇒ Turnkey III - Vacant or non-homebuyer-occupied;
    - ⇒ Turnkey III - Occupied;
    - ⇒ Mutual Help; and
    - ⇒ Section 23-Bond-financed.
  - Occupancy type:
    - ⇒ Family,
    - ⇒ Elderly, or
    - ⇒ Mixed.
  - Structure type:
    - ⇒ Detached/semi-detached,
    - ⇒ Row,

- ⇒ Walk-up, or
- ⇒ Elevator.
- Needed physical improvements:
  - ⇒ Estimated cost,
  - ⇒ Urgency of need, and
  - ⇒ Number of units with long-term physical and social viability.
- ❑ IHAs who are continuing to operate their CIAP separate from NAHASDA, will also submit semi-annual reports for each CIAP project.
  - CIAP reports can serve as indicators for developments needing improvements and replacements.
  - CIAP Budget and Performance Reports indicate the number of developments that have long-term physical and social viability.
  - CIAP Budget and Performance Reports include data on the funds expended and obligated for:
    - ⇒ Modernization,
    - ⇒ Demolition,
    - ⇒ Relocation,
    - ⇒ Lead-based paint activities, and
    - ⇒ Energy conservation measures.
- ❑ Some IHAs have regularly submitted a form to HUD that contains tenant family data: the “HUD-50058 Family Report.”
  - The form includes information on individuals who already are residents. For example, the designation “families without housing” on the form refers to a currently-housed tenant who previously did not have housing.
  - Because the forms were not always completed or submitted, the usefulness of these data will vary from tribe to tribe.
- ❑ This HUD-50058 form includes the following data:
  - Social and economic characteristics of tenants:
    - ⇒ Size of family,
    - ⇒ Number of elderly and near-elderly families,

- ⇒ Number of households with school-age children (ages five-17),
- ⇒ Number of young households (adults ages 25-34),
- ⇒ Number of single parent heads of households (households with one parent and children under age 18),
- ⇒ Number of households with full-time students,
- ⇒ Number of households with disabled persons,
- ⇒ Incomes of families, and
- ⇒ Sources of income.
- Housing characteristics of tenants:
  - ⇒ Housing preferences,
  - ⇒ Number of families without housing,
  - ⇒ Number of families living in substandard housing,
  - ⇒ Number of families paying more than 50 percent of income on rent, and
  - ⇒ Number of families joining a public Indian housing program for the first time.
- Housing profile of Indian area:
  - ⇒ Number of rental and Turnkey III units,
  - ⇒ Number of Mutual Help units, and
  - ⇒ Number of Section 8 vouchers and certificates.
- ❑ Some IHAs have submitted this data directly to HUD's computer database Multifamily Tenant Characteristics Systems (MTCS).
  - The data since March 1996 has been stored electronically if the IHA has complied with HUD's submission requirements.



#### **MTCS Data**

Beware that the information stored in MTCS is sometimes incomplete, and MTCS data submissions have generally been sporadic.

## **U.S. Census Bureau**

Data on Native Americans living in tribal areas may be obtained from the 1990 Decennial Census. Although comprehensive on a national scale, Census data has limitations.



☐ Advantages of U.S. Census data:

- Data is collected uniformly and in an unbiased manner.
- Data is comparable and consistent with other tribes.
- Special tabulations for individual tribes may be available.

☐ Disadvantages of U.S. Census data:

- Data from the 1990 Census is over ten years old. While some data from the 2000 Census is available, much is still being tabulated and analyzed.
- Since data on housing need and income is collected by sampling households, data on housing need and income are very unreliable for those communities with populations below 250.
- The Census Bureau estimates that 12 percent of the Native American population was not counted in tribal Areas in the 1990 Census. (It is impossible to tell which tribes were actually under-counted.)

It is sometimes difficult to identify the portions of the Census that are relevant to your tribe. Before exploring Census materials, a tribe should first consult the following information centers:

☐ Census Regional Offices:

- The Census Bureau divides the United States into twelve regions of service, each which contains a regional office.
- Census Regional Offices can provide information on where to find Census data relevant to a specific tribe or region.
- A phone directory of Census Regional Offices is provided in Attachment 3-1c. Census Regional Offices can also be identified by calling the Census Bureau's Customer Service Department at (301) 457-4100.

☐ State Data Centers (SDCs) and Business/Industry Data Centers (BIDCs):

- Data centers are important because they are adept at providing information on Indian areas within their region.
- Data centers also serve as resource banks on where to find available data.
- Data centers are usually State government agencies, universities, and libraries that head up a network of affiliate centers.
- Data centers work with the Census Bureau in providing information on where to find specific Census data.
- Each state has at least one data center.


- A phone directory of data centers broken down by state is provided in Attachment 3-1d. Data centers can also be identified by calling the Census Bureau's Customer Services Department at (301) 457-4100.
- ❑ Both Census Regional Offices and data centers may direct you to a local Federal depository library.
  - Federal depository libraries often hold Census materials, some of which may be out of print or no longer available for purchase.
  - There is a Federal depository library located in each Congressional District. Because there are over 1,300 of these libraries located in the country, it is best to first consult a Census Regional Office or data center which may have materials relevant to your tribe.
  - Also see "Browsing the Internet -- Places to Start" later in this chapter on how to find Federal depository libraries in your State.
- ❑ The U.S. Census Bureau's World Wide Web Page at <http://www.census.gov> allows users to search on-line for Census information and publications. (For more information on this Web Site, see "Browsing the Internet -- Places to Start.")
- ❑ Census data materials relevant to Native Americans has been specially tabulated by the Bureau and is available for purchase on CD-ROM.
- ❑ The Census Bureau organizes its materials by call numbers. When purchasing or reviewing Census materials, it is important to cite these call numbers.
- ❑ CD-DEC90-STF3C: *Housing Characteristics for American Indian and Alaska Native Areas* contains the following types of data tabulated at the Indian area level.
  - Social and economic characteristics:
    - ⇒ Age, sex, and marital status,
    - ⇒ Employment status,
    - ⇒ Income and poverty status,
    - ⇒ Educational attainment and school enrollment, and
    - ⇒ Patterns of commuting and intercensal residential mobility.
  - Housing characteristics:
    - ⇒ Number of rooms and bedrooms,
    - ⇒ Monthly owner costs,
    - ⇒ Telephone availability,

- ⇒ Heating fuel,
  - ⇒ Age and structure types of housing units,
  - ⇒ Kitchen and plumbing facilities,
  - ⇒ Utilities in rent,
  - ⇒ Occupancy status,
  - ⇒ Water source, and
  - ⇒ Plumbing facilities.
- ☐ CD-DEC90-STF-13: *Characteristics of American Indians by Tribe and Language* contains the same type of information as noted above, but is tabulated only at the State level.
- ☐ Printed reports of this data can no longer be purchased, but may be found in whole or in part at Federal depository libraries:
- Volume CH-1-A: General Housing Characteristics for American Indian and Alaska Native Areas;
  - Volume CH-2-A: Detailed Housing Characteristics for American Indian and Alaska Native Areas;
  - Volume CP-2-1A: General Population Characteristics for American Indian and Alaska Native Areas;
  - Volume CP-2-2A: Social and Economic Characteristics of American Indian and Alaska Native Areas; and
  - Volume CP-3-7: Characteristics of American Indians by Tribe and Language.
- ☐ A sample of tribal data from the 1990 Census is provided in Attachment 3-1e.

## **Bureau of Indian Affairs (BIA)**

The Bureau of Indian Affairs (BIA) compiles data concerning employment for tribal areas every two years in its Labor Force Report.

- ☐ The data in the biannual Labor Force Report is collected from the following types of sources:
- Tribes,
  - Household surveys,
  - School records,
  - Employment records,



**BIA Data**

Since most of the data from the BIA is collected directly from the tribe and may be current only as of two years ago, your tribe's current data may be more accurate!

- Tribal election statistics,
  - Tribal membership rolls, and
  - BIA program service records.
- ☐ The Labor Force Report is broken down by tribe, State and servicing BIA organizational elements (such as area offices, agencies, and other components).
- ☐ The Labor Force Report includes the following data:
- Number of Native Americans living on or near reservations;
    - ⇒ Number of persons under 16,
    - ⇒ Number of persons 16-64,
    - ⇒ Number of persons over 64, and
    - ⇒ Number of full-time students.
  - Total membership count as maintained by individual tribes;
  - Total Native American count in labor force;
    - ⇒ Number of Native Americans employed,
    - ⇒ Number of Native Americans unemployed or seeking work, and
    - ⇒ Total potential labor force.
- ☐ Tribes/TDHEs can obtain this report by calling the Office of Tribal Services at (202) 208-3463.
- A sample page of the labor force report is provided in Attachment 3-1f.

## **Indian Health Service**

The Indian Health Service (IHS) provides tribes with comprehensive health services. A tribe/TDHE may want to contact IHS for the following types of information:

- ☐ Information on existing water, waste water disposal, and solid waste facilities:
- Although some tribes own and operate water and waste facilities, IHS has often been responsible for the construction of such facilities on Indian lands.
  - Each IHS Area Office includes a division of Sanitation Facilities Construction (SFC), which can assist tribes in developing sanitation facilities infrastructure.
  - A tribe's local SFC division can provide:
    - ⇒ Technical assistance in evaluating the adequacy of existing facilities;

- ⇒ Assessments on how new housing development will impact facilities; and
- ⇒ Cost and planning estimates regarding utility development.
- Tribes seeking information regarding other environmental quality concerns may want to contact their local IHS Area Office and as for the Division of Environmental Health and Engineering.
- ❑ Patient Registration System:
  - Data reflects the use of IHS hospitals.
  - Data is tabulated at the tribal level or Indian area served by the IHS.
  - Data will not capture the total population because IHS is not used by all members of a tribe.
  - Data may indicate needs of elderly and disabled.
  - Data can be obtained by calling your nearest IHS clinic.
- ❑ County level birth and death data:
  - Data includes the estimated population count for American Indians and Alaska Natives for every county in the U.S.
  - Data is tabulated annually at the county level.
  - Data can be used to update 1990 Census population figures.
  - Data can be obtained by calling your nearest IHS clinic.

## **U.S. Department of Housing and Urban Development (HUD)**

- ❑ HUD USER is an information source for housing and community development professionals that is maintained by HUD's Office of Policy Development and Research (PD&R).
  - HUD USER helps researchers find reports and publications by specific topic area:
    - ⇒ Indian housing,
    - ⇒ Housing needs, and
    - ⇒ Market conditions.
  - Searches can be conducted on-line through HUD USER's World Wide Web page at <http://huduser.org>. (For more information on the Web Site, see "Browsing the Internet--Places to Start.")

- Users without Internet access can call HUD USER at 1-800-245-2691 for assistance in searching for relevant publications.
- ❑ HUD maintains the Multifamily Tenants Characteristics System (MTCS), a computer database which contains data on the characteristics of the households occupying HUD units.
  - As noted previously, because the data stored in MTCS is submitted directly by the TDHE, and because the data in MTCS is sometimes incomplete, in almost all cases, a tribe can better access this data by contacting the TDHE directly.
  - MTCS reporting is not required under NAHASDA except for Section 8 programs.

**Attachment 3-1B:  
Sample Housing Needs Surveys**





# HOUSING/LANDS NEED SURVEY

The purpose of this survey is to identify your needs regarding Housing and Land in ***(Insert Location)***.

Please complete this form and return it in the enclosed self-addressed, stamped envelope. Please note that any information you give will be confidential and will be used only for statistical purposes. Thank you for your participation!

## **General Information**

Age group:

☐ under 18    ☐ 19-25    ☐ 26-40    ☐ 41-60    ☐ 60+

Number in Household (including self): \_\_\_\_\_

Income:    ☐ under \$12,000    ☐ \$12,000-\$22,000    ☐ \$22,000-\$30,000  
☐ \$30,000-\$45,000    ☐ \$45,000+

Are you a student?:    ☐ Yes    ☐ No    Graduation Date \_\_\_\_\_

Do you currently:    ☐ Rent    ☐ Own a Home    ☐ Live with family or other  
☐ Homeless

What is your monthly rent/mortgage payment?: \$ \_\_\_\_\_

Do you live on the reservation?    ☐ Yes    ☐ No

If yes, what area?

---

---

If no, do you plan on returning in the next 5 years?    ☐ Yes    ☐ No  
If yes, what area? (see list above) \_\_\_\_\_

Do you have any disabilities? Explain \_\_\_\_\_

## **Housing Needs**

What should be a priority, #1 being the most important:

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> New Housing               | <input type="checkbox"/> Law Enforcement   | <input type="checkbox"/> Affordability of New/Existing Housing |
| <input type="checkbox"/> Rehab of Existing Housing | <input type="checkbox"/> Handicap Services | <input type="checkbox"/> Emergency Housing                     |
| <input type="checkbox"/> Available Rentals         | <input type="checkbox"/> Home Maintenance  | <input type="checkbox"/> Landscaping                           |
| <input type="checkbox"/> Financing for New Housing | <input type="checkbox"/> Change in Income  | <input type="checkbox"/> Retirement Housing                    |
| <input type="checkbox"/> Other _____               |  |  |

## Land Needs

Please rank your needs, #1 being the most important:

- ☐ Land for New Construction (Size of parcel needed: \_\_\_\_\_)
- ☐ Seeking Urban Rural site; Area (see list above): \_\_\_\_\_
- ☐ Mobile Home Lots
- ☐ Driveway Improvement
- ☐ Small clustered sites (less than 8 lots)
- ☐ Areas Designed for Retirees
- ☐ Access to recreation/parks/playgrounds Bicycle/Pedestrian paths

## Utility Needs

Please rank your needs, #1 being most important:

- |  |   |
|--|---|
| <input type="checkbox"/> Water/Well services | <input type="checkbox"/> Garbage Removal                |
| <input type="checkbox"/> Septic Services     | <input type="checkbox"/> Community Water/Sewer Concerns |

Area/Site of Concern (see list above): \_\_\_\_\_

Explain Concern:

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## **TRIBAL HOUSING NEEDS ASSESSMENT SURVEY**

The (***Insert Name of Tribe***) is conducting this survey to gather information on the housing and housing-related service needs of Tribal Members. This survey is being sent to each Tribal household to gather information on housing conditions, needs, and preferences. Your opinions are important and will help the Tribal Housing Department better meet the housing needs of Tribal Members.

**Please take a few moments to complete and return this survey in the enclosed postage paid envelope by November 10. Thank you for your help.**

---

*First we would like to ask you about your current housing.*

Q-1 Do you rent or own the home you live in?

- ☐ RENT
- ☐ OWN (OR AM BUYING)
- ☐ OCCUPY WITHOUT PAYMENT OF RENT

Q-2 What type of home do you live in?

- ☐ SINGLE FAMILY HOME
- ☐ MOBILE HOME/MANUFACTURED HOME ON OWN LOT
- ☐ MOBILE HOME/MANUFACTURED HOME IN PARK
- ☐ DUPLEX (2 Unit Structure)
- ☐ APARTMENT (structure with 3 or more units)
- ☐ RESIDING WITH ANOTHER FAMILY
- ☐ OTHER (please specify) \_\_\_\_\_

Q-3 How many rooms do you have in your home?

\_\_\_\_\_ ROOM(S) (do not count bedrooms, bathrooms, utility rooms, porches, hallways, foyers, or half rooms)  
\_\_\_\_\_ BEDROOM(S) (please indicate the number of bedrooms)

Q-4 Please estimate the year your home was built

- |                                       |                                       |
|---------------------------------------|---------------------------------------|
| <input type="checkbox"/> Before 1940  | <input type="checkbox"/> 1970 to 1978 |
| <input type="checkbox"/> 1940 to 1969 | <input type="checkbox"/> After 1978   |

Q-5 How much is the house payment/rent PER MONTH for the residence you live in not including property taxes, utilities (e.g., water, garbage, sewage, gas, electricity, heating fuel), and insurance? If you live in a mobile home park, please include the amount you pay for your space.

\_\_\_\_\_ \$ PER MONTH                      \_\_\_\_\_ NOT CURRENTLY MAKING PAYMENTS

- Q-6 On average, how much is spent in your household PER MONTH for all utilities (do not include telephone)?
- \_\_\_\_\_ \$ PER MONTH                      \_\_\_\_\_ MY UTILITIES ARE INCLUDED WITH RENT
- Q-7 How much is your household's total monthly income from all jobs and other sources *before* deduction?
- \_\_\_\_\_ \$ PER MONTH
- Q-8 Have you faced housing discrimination because of your (check all that apply):
- ☐ AGE    ☐ PETS  
☐ RACE    ☐ DISABILITY  
☐ CHILDREN    ☐ INCOME LEVEL  
☐ I HAVE NOT FACED ANY DISCRIMINATION  
☐ OTHER (please describe) \_\_\_\_\_
- Q-9 If you or a member of your household has a physical disability, does all or part of your home accommodate wheelchairs or other physical limitations?
- ☐ NO ONE IN MY HOUSEHOLD HAS A PHYSICAL DISABILITY  
☐ YES  
☐ NO  
☐ PARTIALLY
- Q-10 Are you currently sharing housing with someone else because you have to in order to afford it?
- ☐ Yes                      |                      ☐ No

Next, we would like to ask you about the condition of your home.

- Q-11 Please check the appropriate box for each of the following questions.

Question	Yes	No
Does your home have a continuous concrete foundation?		
Is the electrical system safe and in good working condition?		
Does your plumbing system leak, clog often, or require frequent repair?		
Does your home have any floors or ceilings that sag, contain large cracks, or show signs of continual dampness, such as water stains?		
Does your home's roof sag, leak, or have poor drainage?		

- Q-12 Please rate the general condition of each of the following elements in your home by checking the appropriate box.

Element	Good	Adequate	Needs Improvement
Plumbing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Electrical System	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Heating System	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foundation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interior Walls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Exterior Siding/Paint	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Roof	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Floors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Windows	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Insulation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- Q-13 Please rate the overall condition of your current dwelling.

- ☐ EXCELLENT (no repairs needed)
- ☐ GOOD (only a few minor repairs needed)
- ☐ FAIR (needs many minor repairs)
- ☐ POOR (needs major repairs)

*Now we would like to ask you about your present and future housing needs.*

- Q-14 How long have you lived in your present home?

\_\_\_\_\_ NUMBER OF YEARS (If less than one, write number of months here \_\_\_\_\_).

- Q-15 What are the reasons you moved to your present home (please check all that apply)

- ☐ WANTED TO OWN
- ☐ WANTED TO RENT
- ☐ WANTED MORE AFFORDABLE HOME
- ☐ WANTED BETTER LOCATION
- ☐ CHANGE IN EMPLOYMENT (transfer, new job, etc.)
- ☐ RETIRED AND WANTED DIFFERENT LOCATION
- ☐ CHANGE IN FAMILY SIZE
- ☐ CHANGE IN MARITAL/RELATIONSHIP STATUS
- ☐ NEIGHBORHOOD CONDITIONS
- ☐ WANTED A HOME IN BETTER CONDITION
- ☐ WANTED A HOME IN AREA WITH MORE SERVICES (e.g., shopping, medical, daycare, schools)
- ☐ OTHER \_\_\_\_\_

Q-16 Check all statements that describe your current housing.

- ☐ GENERALLY SATISFIED, MEETS MY NEEDS
- ☐ PHYSICAL CONDITION NOT ADEQUATE
- ☐ LOCATION INCONVENIENT TO EMPLOYMENT
- ☐ LOCATION INCONVENIENT TO SERVICES (e.g., shopping, medical, daycare, schools, etc.)
- ☐ TOO SMALL
- ☐ TOO LARGE
- ☐ OTHER (please describe)

Q-17 If you own your own home, would you use a home repair or improvement loan or grant program? (Check the appropriate box)

- ☐ I DO NOT CURRENTLY OWN A HOME
- ☐ YES
- ☐ NO

Q-18 Has anyone in your household received any of the following in the past year? (Check all that apply)

- ☐ FOOD STAMPS
- ☐ ENERGY ASSISTANCE
- ☐ PUBLIC HOUSING ASSISTANCE
- ☐ SECTION 8 HOUSING CERTIFICATE OR HOUSING VOUCHER
- ☐ HAVE NOT RECEIVED HOUSING ASSISTANCE, BUT AM ON A WAITING LIST
- ☐ HAVE NOT RECEIVED HOUSING ASSISTANCE, BUT AM ON A WAITING LIST
- ☐ NO ONE IN MY HOUSEHOLD HAS RECEIVED ANY ASSISTANCE

Q-19 Would you prefer to buy or rent your next residence?

- ☐ PREFER TO RENT
- ☐ PREFER TO BUY
- ☐ PREFER TO BUY BUT CAN'T AFFORD IT
- ☐ UNCERTAIN

Q-20 Please RATE the importance of the following features to you when choosing a place to live (please check the appropriate box)

Feature	Not Important	Important	Very Important
Low Utility Costs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Privacy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Low Noise Level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Children's Play Area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Garden	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Open Area/Parks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Size/Number of Bedrooms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Storage	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fenced Yard	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Good Neighborhood	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Work Area/Shop or Barn	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wheelchair/Disabled Access	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Large Lot Size	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Garage	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Close to Shopping	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q-21 If you want to move but feel you are unable, what are the main reasons (check all that apply)

- ☐ DO NOT WANT TO MOVE
- ☐ HOUSING COSTS ARE TOO HIGH
- ☐ OTHER DEBTS (credit card payment, bills, child support, etc.)
- ☐ COST OF MOVING
- ☐ DIFFICULTY OF MOVING PERSONAL BELONGINGS
- ☐ CAN'T FIND HOUSING IN SUITABLE LOCATION
- ☐ CAN'T FIND PREFERRED TYPE OF HOUSING
- ☐ UNABLE TO FIND HOUSE IN SUITABLE CONDITION
- ☐ RESTRICTIONS WHICH DO NOT ALLOW CHILDREN
- ☐ RESTRICTIONS WHICH DO NOT ALLOW PETS
- ☐ LACK OF STEADY EMPLOYMENT INCOME
- ☐ CAN'T FIND SUITABLE EMPLOYMENT
- ☐ LACK OF REFERENCES
- ☐ LACK OF TRANSPORTATION
- ☐ CAN'T FIND HOUSING FOR HOUSEHOLD MEMBER WITH PHYSICAL DISABILITY
- ☐ OTHER (please specify)



Q-22 If cost is one reason that you are unable to move, which of the following are difficulties for you?

- ☐ I DO NOT WANT TO MOVE
- ☐ COST IS NOT A REASON THAT I AM UNABLE TO MOVE

IF YOU PREFER TO *RENT* YOUR NEXT HOME, THE DIFFICULTIES ARE:

- ☐ UNABLE TO PAY FIRST AND LAST MONTHS RENT DEPOSITS
- ☐ UNABLE TO OBTAIN REFERENCES
- ☐ UNABLE TO PAY HEATING AND UTILITY BILLS
- ☐ UNABLE TO PAY RENT INCREASES THAT MAY OCCUR
- ☐ OTHER (please specify)

IF YOU PREFER TO *OWN* YOUR NEXT HOME, THE DIFFICULTIES ARE:

- ☐ UNABLE TO PAY 10-20% DOWN PAYMENT AND/OR CLOSING COSTS
- ☐ UNABLE TO QUALIFY FOR A LOAN DUE TO POOR CREDIT
- ☐ UNABLE TO QUALIFY FOR A LOAN DUE TO HIGH DEBTS
- ☐ UNABLE TO PAY HOUSE PAYMENTS AND TAXES
- ☐ UNABLE TO PAY OTHER COSTS (i.e., utilities, maintenance, insurance)
- ☐ OTHER (please specify)

Q-23 In FIVE years, what type of housing do you think will best suit your needs?

- ☐ MY PRESENT HOME WILL MEET MY NEEDS IN FIVE YEARS
- ☐ LARGE SINGLE FAMILY HOME (3 or more bedrooms)
- ☐ SMALL SINGLE FAMILY HOME (2 or fewer bedrooms)
- ☐ DUPLEX (2 unit structure)
- ☐ APARTMENT (structure with 3 or more units)
- ☐ MOBILE HOME/MANUFACTURED HOME
- ☐ RETIREMENT COMPLEX
- ☐ OTHER (please specify) \_\_\_\_\_

*Next, we'd like to find out about your interest in housing in the (**Insert Location**) Area.*

Q-24 If you do not live in (**Insert Location**) Area, would you consider to moving to the area?

- ☐ I LIVE IN THE (**Insert Location**) AREA
- ☐ YES
- ☐ NOT SURE
- ☐ NO (If you answered NO, why not? Check all that apply)
  - ☐ I ALREADY HAVE WELL-ESTABLISHED ROOTS WHERE I LIVE NOW
  - ☐ I DON'T REALLY DESIRE STRONGER TIES WITH THE TRIBE
  - ☐ JOB OPPORTUNITIES DO NOT EXIST FOR ME IN THE (**Insert Location**) AREA
  - ☐ THERE IS A LACK OF HOUSING IN THE (**Insert Location**) AREA
  - ☐ OTHER (please specify) \_\_\_\_\_

- Q-25 Even if you already live in the (**Insert Location**) area, which of the following conditions would have to exist before you would seriously consider moving to new housing in the (**Insert Location**) area? (Check the appropriate boxes)

Condition	Must exist for me to seriously consider moving to new housing in Grand Ronde
The Tribe develops new housing	<input type="checkbox"/>
Housing is financially assisted by the Tribe	<input type="checkbox"/>
Jobs and economic opportunity	<input type="checkbox"/>
Housing designed for elders	<input type="checkbox"/>
The Tribe expands its health care facilities	<input type="checkbox"/>
Other (please specify) _____	<input type="checkbox"/>

- Q-26 Would you consider the following housing options if provided in the (**Insert Location**) area? (Check the appropriate box for each option).

Option	Definitely Not	Probably Not	Not Sure	Probably Yes	Definitely Yes
Buy a single-family home					
Rent a single-family house					
Rent in a duplex					
Rent in a tri- or four-plex					
Rent in an apartment in a building with 5+ units					
Buy a mobile/manufactured home located in a rented space in a park					
Buy a mobile/manufactured home and place it on my own lot					
Live in a building with communal facilities (i.e., kitchen, bathroom)					

- Q-27 If you moved to new housing in the (**Insert Location**) area, would you seriously consider living in? (Check all that apply)

- ☐ A HOUSING DEVELOPMENT ON TRIBAL LAND  
☐ A HOME ON PRIVATE LAND THAT YOU (PRIVATE INDIVIDUAL) OWN

- Q-28 Are any of your household members over age 55?

- ☐ YES  
☐ NO (If NO, skip to Q-32)

- Q-29 If you would consider retiring in (**Insert Location**), would you require financial assistance?

- ☐ I WOULD NOT CONSIDER RETIRING IN (**Insert Location**)  
☐ YES, I WOULD REQUIRE FINANCIAL ASSISTANCE  
☐ NO, I WOULD NOT REQUIRE FINANCIAL ASSISTANCE

Q-30 If you retired in (***Insert Location***), what type of housing do you think will best suit your needs in five years?

- |   |  |
|---|--|
| <input type="checkbox"/> SINGLE FAMILY HOME           | <input type="checkbox"/> APARTMENT             |
| <input type="checkbox"/> MOBILE/MANUFACTURED HOME     | <input type="checkbox"/> CONDOMINIUM/TOWNHOUSE |
| <input type="checkbox"/> DUPLEX                       | <input type="checkbox"/> ELDER HOUSING COMPLEX |
| <input type="checkbox"/> OTHER (please specify) _____ |  |

Q-31 Do you or any members of your household over age 55 currently receive physical assistance in accomplishing the following activities because of health or disability problems?

Activity	I Do Not Need Assistance	I Receive Assistance	I Do Not Receive Assistance But It Is Needed
Home Repairs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Preparing Meals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Housework	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Yard Work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Shopping	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business Affairs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transportation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Personal Care	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (Please Specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

*Finally, please tell us about your household.*

Q-32 What city or town do you live in or live closest to?

\_\_\_\_\_  
City County State Zip

Q-33 How would you describe your household? (please check the appropriate category)

- ☐ ONE PERSON LIVING ALONE  
☐ MARRIED COUPLE WITH NO CHILDREN  
☐ MARRIED COUPLE WITH CHILDREN  
☐ SINGLE-PARENT FAMILY  
☐ MORE THAN ONE PERSON, ALL UNRELATED  
☐ OTHER (Please specify) \_\_\_\_\_

Q-34 How many people that live in your household are? (please indicate the number for each category; if none enter zeros)

Tribal Members

Non-Tribal Members

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

CHILDREN UNDER AGE 7  
CHILDREN BETWEEN AGE 7 AND 17  
BETWEEN AGE 18 AND 55  
BETWEEN AGE 55 AND 65  
65 YEARS OF AGE OR OLDER  
PHYSICALLY HANDICAPPED

Q-35 What is the highest level of education that you have completed?

- |   |   |
|---|---|
| <input type="checkbox"/> GRADE SCHOOL     | <input type="checkbox"/> SOME COLLEGE       |
| <input type="checkbox"/> SOME HIGH SCHOOL | <input type="checkbox"/> COLLEGE GRADUATE   |
| <input type="checkbox"/> HIGH SCHOOL/GED  | <input type="checkbox"/> POST GRADUATE WORK |

Q-36 Please mark the category that best describes your present occupation.

- |   |  |
|---|--|
| <input type="checkbox"/> MANAGERIAL, PROFESSIONAL   | <input type="checkbox"/> SERVICES                      |
| <input type="checkbox"/> TECHNICAL, SALES, CLERICAL | <input type="checkbox"/> PRODUCTION, CRAFT, REPAIR     |
| <input type="checkbox"/> FARMING, FORESTRY, FISHING | <input type="checkbox"/> OPERATORS, FABRICATORS, LABOR |
| <input type="checkbox"/> RETIRED                    | <input type="checkbox"/> SELF-EMPLOYED                 |

Q-37 Please indicate the sources of income in your household (Check all that apply)

- |   |   |
|---|---|
| <input type="checkbox"/> WAGE OR SALARY INCOME  | <input type="checkbox"/> FARM INCOME                          |
| <input type="checkbox"/> SELF-EMPLOYMENT INCOME | <input type="checkbox"/> INTEREST, DIVIDEND, OR RENTAL INCOME |
| <input type="checkbox"/> SOCIAL SECURITY INCOME | <input type="checkbox"/> PUBLIC/GENERAL ASSISTANCE INCOME     |
| <input type="checkbox"/> RETIREMENT INCOME      | <input type="checkbox"/> OTHER INCOME (please specify)        |

Q-38 Please indicate which of the following categories best describes your 1993 TOTAL HOUSEHOLD INCOME, before taxes:

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> UNDER \$5,000        | <input type="checkbox"/> \$25,000 to \$29,999 | <input type="checkbox"/> \$50,000 to \$54,999 |
| <input type="checkbox"/> \$5,000 to \$9,999   | <input type="checkbox"/> \$30,000 to \$34,999 | <input type="checkbox"/> \$55,000 to \$59,999 |
| <input type="checkbox"/> \$10,000 to \$14,999 | <input type="checkbox"/> \$35,000 to \$39,999 | <input type="checkbox"/> \$60,000 to \$74,999 |
| <input type="checkbox"/> \$15,000 to \$19,999 | <input type="checkbox"/> \$40,000 to \$44,999 | <input type="checkbox"/> \$75,000 to \$99,999 |
| <input type="checkbox"/> \$20,000 to \$24,999 | <input type="checkbox"/> \$45,000 to \$49,999 | <input type="checkbox"/> \$100,000 OR MORE    |

Q-39 Is there anything else you would like to tell us about your present or future housing? Use the space provided below or a separate sheet if you have additional comments.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

*Thank you. We appreciate your time and opinions. The information you have provided will help make a difference in identifying solutions for the (**Insert Name of Tribe**) Housing Program.  
YOUR RESPONSES WILL REMAIN CONFIDENTIAL.*

# SAMPLE BUILDING CONDITIONS SURVEY<sup>1</sup>

Courtesy: Neighborhood Reinvestment Corporation; adapted from *Focusing Back on the Neighborhood: A Neighborhood Inventory Handbook*

Address \_\_\_\_\_

Occupancy Status: Occupied ☐ Vacant ☐ Boarded ☐  
 For Sale ☐ For Rent ☐ Don't Know ☐

Structure Type: Single Family detached ☐ Semi-detached ☐  
 Row House ☐ Apartment Building ☐ # of units \_\_\_\_\_

Street & Sidewalk Conditions: o.k. ☐ minor repair ☐ major repair ☐

Principal Building Material: Wood frame ☐ brick ☐ block ☐ other ☐

Part of Building	O.K.	Moderate Repair Necessary	Major Repairs Necessary
Foundation	<input type="checkbox"/> (0)	<input type="checkbox"/> (2)	<input type="checkbox"/> (4)
Front or Rear Porch (posts, deck, rail, steps)	<input type="checkbox"/> (0)	<input type="checkbox"/> (2)	<input type="checkbox"/> (4)
Garage	<input type="checkbox"/> (0)	<input type="checkbox"/> (1)	<input type="checkbox"/> (2)
Yard/landscaping/fencing	<input type="checkbox"/> (0)	<input type="checkbox"/> (1)	<input type="checkbox"/> (2)
Electrical Service	<input type="checkbox"/> 110 (2 wire) (1)	<input type="checkbox"/> 220 (3 wire) (0)	
Overall Condition:	<input type="checkbox"/> Good (0-4)	<input type="checkbox"/> Substandard, suitable for rehab	
	<input type="checkbox"/> Moderate repairs (5-10)	<input type="checkbox"/> Substandard, not suitable for rehab	
Comments:	_____		
	_____		
	_____		
	_____		
	_____		
	_____		

<sup>1</sup> Caution: This sample survey must be field tested and adjusted to work for the housing stock in your neighborhood. Pay special attention to adjusting the weighted scoring system to the condition of your neighborhood's housing.



The following is a Sample Questionnaire designed to help gather information about facilities and services for the homeless in your community.

It will yield information helpful to preparing the Indian Housing Plan (IHP). It may also be useful to housing counselors and social service providers.

## **SAMPLE QUESTIONNAIRE**

### **PROFILING HOMELESS FACILITIES AND RESOURCES**

The Tribe of \_\_\_\_\_ is conducting a survey of facilities and resources for the homeless. Please complete the following questionnaire as part of the development of a Indian Housing Plan (IHP). Preparation of a IHP is required of all Tribes receiving Federal funds for housing. One aspect of the is an evaluation of facilities and services that serve the homeless.

Please help us by completing this questionnaire. Return it to:

\_\_\_\_\_

\_\_\_\_\_

Call \_\_\_\_\_ If you have questions about this document or the development of the plan process.

NAME OF FACILITY	NAME AND TITLE OF CONTACT PERSON
ADDRESS OF FACILITY	TELEPHONE NUMBER OF CONTACT PERSON
FACILITY PHONE NUMBER	DATE QUESTIONNAIRE COMPLETED
AGENCY OPERATING FACILITY	NAME AND PHONE OF CONTACT AT AGENCY



		COMPLETE FOR EACH SERVICE MARKED.					
<b>I. Which of the following services does your facility provide?</b> <b>(Mark all that apply)</b>		<b>1. How many people use your services on an average day in February? How many of these are children?</b>		<b>2. Approximately what proportion of the adults are regulars or repeaters, e.g., using your facility at least 1/3 of the days in a month?</b>		<b>3. Approximately what proportion of your clients are homeless?</b>	
		People	Children			People	Children
<b>II a. OVERNIGHT SHELTER -- If YES is your facility:</b>							
<b>II a.1. An emergency shelter (maximum stay usually 90 days or less) operating on a first-come-first-served basis, where people must leave in the morning and have no guaranteed bed for the next night.</b>							
<b>II a.2. An emergency shelter (maximum stay usually 90 days or less) where people know that they have a bed for a specified period of time (whether or not they have to vacate the building every day).</b>							
<b>II a.3. A transitional shelter (maximum stay up to 2 years) offering augmented services to promote leaving homelessness and maintaining self-sufficiency.</b>							

		COMPLETE FOR EACH SERVICE MARKED.				
1. Which of the following services does your facility provide? (Mark all that apply)		1. How many people use your services on an average day in February? How many of these are children?		2. Approximately what proportion of the adults are regulars or reporters, e.g., using your facility at least 1/3 of the days in a month?	3. Approximately what proportion of your clients are homeless?	
		# People	# Children		# People	# Children
<b>II b. VOUCHERS OR CONTRACT ARRANGEMENTS FOR SHELTER -- If YES, do you:</b>						
II b.1. Give out vouchers for shelter or send people to facilities with which you have a prearranged contractual arrangement for shelter?						
II b.2. Accept vouchers for shelter or operate under contract to provide shelter?						
II c. Prepared meals (soup kitchen/food line) for homeless and other needy persons (this means people in addition to your residents).						
II d. Food pantry (distribute uncooked food in boxes or bags).						
II e. Health care as part of the Health Care for the Homeless program.						

				COMPLETE FOR EACH SERVICE MARKED.	
		1. How many people use your services on an average day in February? How many of these are children?		2. Approximately what proportion of the adults are regulars or repeaters, e.g., using your facility at least 1/3 of the days in a month?	
		# People	# Children	# People	# Children
I. Which of the following services does your facility provide? (Mark all that apply)					
II f. Outreach to the homeless -- go out to the streets to take homeless people food, blankets or other necessities, to offer medical/mental health care and/or chemical dependency screenings/referrals, or to offer other assistance on a regular basis. (Mobile outreach programs only NOT in-house programs) Regular is defined as at least once a week, can be day or night.					
II g. Other - Specify					

2. Who uses your: (fill in with approximate percentages)	1. Unaccompanied adult men?	2. Unaccompanied adult women?	3. People in single-parent families with children?	4. People in two-parent families with children?	5. Adult couples without children?	6. Unaccompanied female youth under 18?	7. Unaccompanied male youth under 18?
a. Shelter							
b. Voucher/ contract arrangements							
c. Soup kitchen							
d. Food pantry							
e. Health Care for the Homeless							
f. Outreach program services							

5. Which of the following non-housing services does your facility provide? (Mark all that apply).

\_\_\_ None

SERVICE	PROVIDED ON SITE	REFERRALS TO OTHERS
<p><b>TREATMENT:</b></p> <p>Drug abuse</p> <p>Alcohol abuse</p> <p>Mental health problems</p> <p>Other health problems</p> <p>Other _____</p> <p>Other _____</p> <p><b>SERVICES:</b></p> <p>Food and meals</p> <p>Storage of personal belongings</p> <p>Shower and shave facilities</p> <p>Laundry</p> <p>Religious services</p> <p>Mail "drop" (site used as mailing address)</p> <p>Clothing</p> <p>Job counseling</p> <p>Education and training</p> <p>Life skills (budgeting, planning, cooking, etc.)</p> <p>Legal problems</p> <p>Child care</p> <p>Early childhood education</p> <p>Transportation</p> <p>Other _____</p> <p>Other _____</p>		



**Attachment 3-1C:  
Phone Directory of  
Census Regional Offices**





## CENSUS REGIONAL OFFICES

Below is a list of Census Regional Offices which provide information services and data product information.

### **Atlanta (AL, FL, GA)**

101 Marietta Street, NW Suite 3200  
Atlanta, GA 30302-2700  
Phone: 404-730-3833  
TDD: 404-730-3963  
[atlanta.regional.office@census.gov](mailto:atlanta.regional.office@census.gov)

### **Charlotte (KY, NC, SC, TN, VA)**

901 Center Park Drive, Suite 106  
Charlotte, NC 28217-2935  
Phone: 704-344-6144  
TDD: 704-344-6548  
[charlotte.regional.office@census.gov](mailto:charlotte.regional.office@census.gov)

### **Dallas (LA, MS, TX)**

6303 Harry Hines Blvd., Suite 210  
Dallas, TX 75235-2569  
Phone: 214-655-3050  
TDD: 214-655-3090  
[dallas.regional.office@census.gov](mailto:dallas.regional.office@census.gov)

### **Detroit (MI, OH, WV)**

1395 Brewery Park Blvd.  
Detroit, MI 48207  
Phone: 313-259-1875  
TDD: 313-259-5169  
[detroit.regional.office@census.gov](mailto:detroit.regional.office@census.gov)

### **Los Angeles (southern CA, HI)**

15350 Sherman Way, Suite 300  
Van Nuys, CA 91406-4224  
Phone: 818-904-6339  
TDD: 818-904-6249  
[la.regional.office@census.gov](mailto:la.regional.office@census.gov)

### **Philadelphia (DE, DC, MD, NJ-selected counties, PA)**

1601 Market Street, 21st Floor  
Philadelphia, PA 19103-2395  
Phone: 215-656-7578  
TDD: 215-656-7578  
[philly.regional.office@census.gov](mailto:philly.regional.office@census.gov)

### **Boston, MA (CT, MA, ME, NH, NY, RI, VT)**

2 Copley Place, Suite 301  
P.O. Box 9108  
Boston, MA 02117-9108  
Phone: 617-424-0510  
[Boston.Regional.Office@census.gov](mailto:Boston.Regional.Office@census.gov)

### **\*Chicago (IL, IN, WI)**

2255 Enterprise Dr., Suite 5501  
Westchester, IL 60154  
Phone: 312-353-9747  
TDD: 312-353-9059  
[chicago.regional.office@census.gov](mailto:chicago.regional.office@census.gov)

### **Denver (AZ, CO, MT, NE, ND, NM, NV, SD, UT, WY)**

6900 W. Jefferson Avenue, Suite 100  
Denver, CO 80235-2032  
Phone: 303-969-7750  
[Denver\\_Regional\\_Office@census.gov](mailto:Denver_Regional_Office@census.gov)

### **Kansas City (AR, IA, KS, MN, MO, OK)**

Gateway Tower II, Suite 600  
400 State Avenue  
Kansas City, KS 66101-2410  
Phone: 913-551-6711  
TDD: 913-551-5839  
[kansas.regional.office@census.gov](mailto:kansas.regional.office@census.gov)

### **New York (NY, NJ, selected counties)**

Jacob K. Javits Federal Bldg.  
26 Federal Plaza, Room 37-130  
New York, NY 10278-0044  
Phone: 212-264-4730  
[ny.regional.office@census.gov](mailto:ny.regional.office@census.gov)

### **Seattle (northern CA, AK, ID, OR, WA)**

700 5th Avenue, Suite 5100  
Seattle, WA 98104-5018  
Phone: 206-553-5835  
TDD: 206-553-5859  
[seattle.regional.office@census.gov](mailto:seattle.regional.office@census.gov)

Puerto Rico and the U.S. Virgin Islands are serviced by the Boston RO. All other outlying areas are serviced by Los Angeles RO. \*Partnership and Data Services staff are located at the RCC address listed above in Chicago and Dallas.

*Source: U.S. Census Bureau*



**Attachment 3-1D:  
Phone Directory of  
Data Centers (by State)**



## State Data Centers (SDCs) and Business and Industry Data Centers (BIDCs)

Lead data centers are usually state government agencies, universities or libraries that head a network of affiliate centers. Listed below are the SDC and BIDC lead agency contacts only. All states have SDCs. Asterisks (\*) identify states that also have BIDCs. In some states, one agency serves as the lead for both the SDC and the BIDC; where there is a separate agency serving as the lead, it is listed separately.

### **Alabama**

Annette Watters  
University of Alabama  
205-348-6191  
[awatters@cba.ua.edu](mailto:awatters@cba.ua.edu)

### **Alaska**

Kathryn Lizik  
Department of Labor  
907-465-2437  
[kathryn\\_lizik@labor.state.ak.us](mailto:kathryn_lizik@labor.state.ak.us)

### **American Samoa**

Vaitoelav Filiga  
Department of Commerce  
684-633-5155  
[vfiliga@samotelco.com](mailto:vfiliga@samotelco.com)

### **\*Arizona**

Betty Jeffries  
Department of Economic Security  
602-542-5984  
[popstats@de.state.az.us](mailto:popstats@de.state.az.us)

### **Arkansas**

Sarah Breshears  
University of Arkansas at Little Rock  
501-569-8530  
[sgbreshears@ualr.edu](mailto:sgbreshears@ualr.edu)

### **California**

Linda Gage  
Department of Finance  
916-323-4086  
[filgage@dof.ca.gov](mailto:filgage@dof.ca.gov)

### **Colorado**

Rebecca Picaso  
Department of Local Affairs  
303-866-2156  
[rebecca.picaso@state.co](mailto:rebecca.picaso@state.co)

### **Connecticut**

Bill Kraynak  
Office of Policy and Management  
860-418-6230  
[william.kraynak@po.state.ct.us](mailto:william.kraynak@po.state.ct.us)

### **\*Delaware**

O'Shell Howell  
Economic Development Office  
302-739-4271  
[oshowell@state.de.us](mailto:oshowell@state.de.us)

### **District of Columbia**

Herb Bixhorn  
Mayor's Office of Planning  
202-442-7603  
[hbixhorn@dcgov.com](mailto:hbixhorn@dcgov.com)

### **\*Florida**

Pam Schenker  
Department of Labor and Employment Security  
850-488-1048  
[pamela.schenker@awi.state.fl.us](mailto:pamela.schenker@awi.state.fl.us)

### **Georgia**

Robert Giacomini  
Office of Planning and Budget  
404-463-1115  
[robert.giacomini@sdrc.gadata.org](mailto:robert.giacomini@sdrc.gadata.org)

### **Guam**

Eugene Yungi Li  
Department of Commerce  
671-475-0205  
**(E-mail unavailable at this time)**

### **Hawaii**

Jan Nakamoto  
Department of Business, Economic  
Development, and Tourism  
808-586-2493  
[jnakamot@dbedt.hawaii.gov](mailto:jnakamot@dbedt.hawaii.gov)

**Idaho**

Alan Porter  
Department of Commerce  
208-334-2470  
[aporter@idoc.state.id.us](mailto:aporter@idoc.state.id.us)

**Illinois**

Suzanne Ebetsch  
Bureau of the Budget  
217-782-1381  
[sebetsch@commerce.state.il.us](mailto:sebetsch@commerce.state.il.us)

**\*Indiana**

Roberta Brooker  
State Library  
317-232-3733  
[rbrooker@statelib.lib.in.us](mailto:rbrooker@statelib.lib.in.us)

**BIDC**

Carol Rogers  
Business Research Center  
317-274-2205  
[rogersc@iupui.edu](mailto:rogersc@iupui.edu)

**Iowa**

Beth Henning  
State Library  
515-281-4350  
[beth.henning@lib.state.ia.us](mailto:beth.henning@lib.state.ia.us)

**Kansas**

Marc Galbraith  
State Library  
785-296-3296  
[ksstl3lb@ink.org](mailto:ksstl3lb@ink.org)

**\*Kentucky**

Ron Crouch  
University of Louisville  
502-852-7990  
[rtcrou01qwise@louisville.edu](mailto:rtcrou01qwise@louisville.edu)

**Louisiana**

Karen Paterson  
Office of Planning and Budget  
504-342-7410  
[webmaster@doa.state.la.us](mailto:webmaster@doa.state.la.us)

**\*Maine**

Eric Vonmagnus  
State Planning Office  
207-287-2989  
[eric.vonmagnus@state.me.us](mailto:eric.vonmagnus@state.me.us)

**\*Maryland**

Jane Traynham  
Office of Planning  
410-767-4450  
[jtraynham@mdp.state.md.us](mailto:jtraynham@mdp.state.md.us)

**\*Massachusetts**

John Gaviglio  
Institute for Social and Economic Research  
413-545-3460  
[miser@miser.umass.edu](mailto:miser@miser.umass.edu)

**Michigan**

Carolyn Lauer  
Department of Management and Budget  
517-373-7910  
[Lauerc@state.mi.us](mailto:Lauerc@state.mi.us)

**\*Minnesota**

David Birkholz  
State Demographer's Office  
651-296-2557  
[david.birkholz@mnplan.state.mm.us](mailto:david.birkholz@mnplan.state.mm.us)

**BIDC**

Barbara Ronningen  
State Demographer's Office  
651-297-2557  
[barbara.ronningen@mnplan.state.mm.us](mailto:barbara.ronningen@mnplan.state.mm.us)

**\*Mississippi**

Rachel McNeely  
University of Mississippi  
601-232-7288  
[rmcneely@olemiss.edu](mailto:rmcneely@olemiss.edu)

**BIDC**

Deloise Tate  
Department of Economic and  
Community Development  
601-359-3593  
[dtate@mississippi.org](mailto:dtate@mississippi.org)

**\*Missouri**

Debra Pitts  
State Library  
573-526-7648  
[pittsd@mail.sos.state.mo.us](mailto:pittsd@mail.sos.state.mo.us)

**BIDC**

Fred Goss  
Small Business Development Center  
573-341-4559  
[fredgoss@umr.edu](mailto:fredgoss@umr.edu)

**\*Montana**

Allan B. Cox  
Department of Commerce  
406-444-4393  
[jclack@state.mt.us](mailto:jclack@state.mt.us)

**Nebraska**

Jerome Deichert  
University of Nebraska at Omaha  
402-554-2134  
[jerome\\_deichert@unomaha.edu](mailto:jerome_deichert@unomaha.edu)

**Nevada**

Joyce M. Cox  
State Library and Archives  
775-684-3303  
[jmcox@clan.lib.nv.us](mailto:jmcox@clan.lib.nv.us)

**New Hampshire**

Thomas Duffy  
Office of State Planning  
603-271-2155  
[t\\_duffy@osp.state.nh.us](mailto:t_duffy@osp.state.nh.us)

**\*New Jersey**

David Joye  
Department of Labor  
609-984-2595  
[djoye@dol.state.nj.us](mailto:djoye@dol.state.nj.us)

**\*New Mexico**

Kevin Kargacin  
University of New Mexico  
505-277-6626  
[kargacin@unm.edu](mailto:kargacin@unm.edu)

**BIDC**

Karma Shore  
Economic Development Department  
505-827-0264  
[kshore@unm.edu](mailto:kshore@unm.edu)

**\*New York**

Staff  
Department of Economic Development  
518-292-5300  
[rscardamalia@empire.state.ny.us](mailto:rscardamalia@empire.state.ny.us)

**\*North Carolina**

Staff  
State Library  
919-733-3270  
[francine@ospl.state.nc.us](mailto:francine@ospl.state.nc.us)

**North Dakota**

Richard Rathge  
State University  
701-231-8621  
[richard\\_rathge@ndsu.nodak.edu](mailto:richard_rathge@ndsu.nodak.edu)

**Northern Mariana Islands**

Diego A. Sasamoto  
Department of Commerce  
670-664-3034  
[cad@itecnmi.com](mailto:cad@itecnmi.com)

**\*Ohio**

Barry Bennett  
Department of Development  
614-466-2115  
[bbennett@odod.state.oh.us](mailto:bbennett@odod.state.oh.us)

**\*Oklahoma**

Jeff Wallace  
Department of Commerce  
405-815-5184  
[jeff\\_wallace@odoc.state.ok.us](mailto:jeff_wallace@odoc.state.ok.us)

**Oregon**

George Hough  
Portland State University  
503-725-5159  
[houghg@mail.pdx.edu](mailto:houghg@mail.pdx.edu)

**\*Pennsylvania**

Diane Shoop  
Pennsylvania State University at Harrisburg  
717-948-6096  
[des102@psu.edu](mailto:des102@psu.edu)

**Puerto Rico**

Lillian Torres Aguirre  
Planning Board  
787-728-4430/ 787-723-6200 (ext 2502)  
[torres\\_l@jp.prstar.net](mailto:torres_l@jp.prstar.net)

**Rhode Island**

Mark Brown  
Department of Administration  
401-222-6183  
[mbrown@planning.state.ri.us](mailto:mbrown@planning.state.ri.us)

**South Carolina**

Mike MacFarlane  
Budget and Control Board  
803-734-3780  
[mmacfarl@drss.state.sc.us](mailto:mmacfarl@drss.state.sc.us)

**South Dakota**

Nancy Nelson  
University of South Dakota  
605-677-5287  
[nnelson@usd.edu](mailto:nnelson@usd.edu)

**Tennessee**

Betty Vickers  
University of Tennessee  
423-974-6080  
[bvickers@utk.edu](mailto:bvickers@utk.edu)

**\*Texas**

Steve Murdock  
Texas A&M University  
409-845-5115/5332  
[smurdock@rsocsun.tamu.edu](mailto:smurdock@rsocsun.tamu.edu)

**BIDC**

Donna Osborne  
Department of Economic Development  
512-936-0223  
[donna@ded.state.tx.us](mailto:donna@ded.state.tx.us)

**\*Utah**

Lisa Hillman  
Office of Planning and Budget  
801-537-9013  
[lhillman@gov.state.ut.us](mailto:lhillman@gov.state.ut.us)

**Vermont**

Sharon Whitaker  
University of Vermont  
802-656-3021  
[sharon.whitaker@uvm.edu](mailto:sharon.whitaker@uvm.edu)

**Virgin Islands**

Frank Mills  
University of the Virgin Islands  
340-693-1027  
[fmills@uvi.edu](mailto:fmills@uvi.edu)

**\*Virginia**

Don Lillywhite  
Virginia Employment Commission  
804-786-8026  
[dlillywhite@vec.state.va.us](mailto:dlillywhite@vec.state.va.us)

**\*Washington**

Yi Zhao  
Office of Financial Management  
360-902-0599  
[yi.zhao@ofm.wa.gov](mailto:yi.zhao@ofm.wa.gov)

**\*West Virginia**

Delphine Coffey  
Office of Community and Industrial Development  
304-558-4010  
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**BIDC**

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*Source: U.S. Census Bureau*



**Attachment 3-1E:  
Sample Information from  
1990 Census**



## ATTACHMENT 3-1E: SAMPLE INFORMATION FROM 1990 CENSUS

1990 Census of Population and Housing

Standing Rock Reservation--North Dakota pt., ND

Total population.....3,761

### SEX

Male.....1,945  
Female.....1,816

### AGE

Under 1 year.....89  
1 and 2 years.....195  
3 and 4 years.....176  
5 years.....103  
6 years.....110  
7 to 9 years.....286  
10 and 11 years.....175  
12 and 13 years.....172  
14 years.....82  
15 years.....82  
16 years.....79  
17 years.....72  
18 years.....67  
19 years.....60  
20 years.....44  
21 years.....51  
22 to 24 years.....136  
25 to 29 years.....288  
30 to 34 years.....265  
35 to 39 years.....248  
40 to 44 years.....215  
45 to 49 years.....179  
50 to 54 years.....125  
55 to 59 years.....126  
60 and 61 years.....43  
62 to 64 years.....58  
65 to 69 years.....89  
70 to 74 years.....81  
75 to 79 years.....33  
80 to 84 years.....20  
85 years and over.....12  
Median age.....22.8  
Under 18 years.....1,621  
Percent of total population.....43.1  
65 years and over.....235  
Percent of total population.....6.2

## HOUSEHOLDS BY TYPE

Total households.....	1,022
Family households (families).....	828
Married-couple families.....	479
Percent of total households.....	46.9
Other family, male householder.....	109
Other family, female householder.....	240
Nonfamily households.....	194
Percent of total households.....	19.0
Householder living alone.....	172
Householder 65 years and over.....	50
Persons living in households.....	3,761
Persons per household.....	3.68

## GROUP QUARTERS

Persons living in group quarters.....	0
Institutionalized persons.....	0
Other persons in group quarters.....	0

## OCCUPANCY AND TENURE

Occupied housing units.....	1,022
Owner occupied.....	446
Percent owner occupied.....	43.6
Renter occupied.....	576
Vacant housing units.....	153
For seasonal, recreational, or occasional use.....	9
Homeowner vacancy rate (percent).....	2.0
Rental vacancy rate (percent).....	3.8
Persons per owner-occupied unit.....	3.14
Persons per renter-occupied unit.....	4.10
Units with over 1 person per room.....	212

## UNITS IN STRUCTURE

1-unit, detached.....	837
1-unit, attached.....	15
2 to 4 units.....	81
5 to 9 units.....	9
10 or more units.....	36
Mobile home, trailer, other.....	197

## VALUE

Specified owner-occupied units.....	142
Less than \$50,000.....	124
\$50,000 to \$99,000.....	17
\$100,000 to \$149,000.....	1
\$150,000 to \$199,999.....	0
\$200,000 to \$299,999.....	0
\$300,000 or more.....	0
Median (dollars).....	20,700

## CONTRACT RENT

Specified renter-occupied units paying cash rent.....	498
Less than \$250.....	443
\$250 to \$499.....	54
\$500 to \$749.....	1
\$750 to \$999.....	0
\$1,000 or more.....	0
Median (dollars).....	122

#### **YEAR STRUCTURE BUILT**

1989 to March 1990.....	20
1985 to 1988.....	64
1980 to 1984.....	129
1970 to 1979.....	429
1960 to 1969.....	293
1950 to 1959.....	66
1940 to 1949.....	9
1939 or earlier.....	165

#### **BEDROOMS**

No bedroom.....	11
1 bedroom.....	202
2 bedroom.....	342
3 bedroom.....	367
4 bedroom.....	171
5 or more bedrooms.....	82

#### **SELECTED CHARACTERISTICS**

Lacking complete plumbing facilities.....	64
Lacking complete kitchen facilities.....	62
Condominium housing units.....	0

#### **SOURCE OF WATER**

Public system or private company.....	788
Individual drilled well.....	330
Individual dug well.....	31
Some other source.....	26

#### **SEWAGE DISPOSAL**

Public sewer.....	738
Septic tank or cesspool.....	382
Other means.....	55
Occupied housing units.....	1,022

**HOUSE HEATING FUEL**

Utility gas.....	4
Bottled, tank, or LP gas.....	749
Electricity.....	122
Fuel oil, kerosene, etc.....	105
Coal or coke.....	14
Wood.....	26
Solar energy.....	0
Other fuel.....	2
No fuel used.....	0

**YEAR HOUSEHOLDER MOVED INTO UNIT**

1989 to March 1990.....	202
1985 to 1988.....	341
1980 to 1984.....	147
1970 to 1979.....	217
1960 to 1969.....	72
1959 or earlier.....	43

**TELEPHONE**

No telephone in unit.....	387
---------------------------	-----

**VEHICLES AVAILABLE**

Occupied housing units.....	1,022
None.....	193
1.....	371
2.....	253
3 or more.....	205

**MORTGAGE STATUS AND SELECTED MONTHLY OWNER COSTS**

Specified owner-occupied housing units.....	124
With a mortgage.....	32
Less than \$300.....	25
\$300 to \$499.....	7
\$500 to \$699.....	0
\$700 to \$999.....	0
\$1,000 to \$1,499.....	0
\$1,500 to \$1,999.....	0
\$2,000 or more.....	0
Median (dollars).....	250
Not mortgaged.....	92
Less than \$100.....	28
\$100 to \$199.....	53
\$200 to \$299.....	11
\$300 to \$399.....	0
\$400 or more.....	0
Median (dollars).....	131

## INCOME IN 1989

Specified owner-occupied housing units.....	124
Less than 20 percent.....	88
20 to 24 percent.....	9
25 to 29 percent.....	7
30 to 34 percent.....	2
35 percent or more.....	18
Not computed.....	0

## GROSS RENT

Specified renter-occupied housing units.....	536
Less than \$200.....	320
\$200 to \$299.....	103
\$300 to \$499.....	83
\$500 to \$749.....	2
\$750 to \$999.....	0
\$1,000 or more.....	0
No cash rent.....	28
Median (dollars).....	147

## GROSS RENT AS A PERCENTAGE OF HOUSEHOLD INCOME IN 1989

Specified renter-occupied housing units.....	536
Less than 20 percent.....	313
20 to 24 percent.....	50
25 to 29 percent.....	61
30 to 34 percent.....	14
35 percent or more.....	67
Not computed.....	31

## INCOME IN 1989

Households.....	1,039
Less than \$5,000.....	201
\$5,000 to \$9,999.....	199
\$10,000 to \$14,999.....	123
\$15,000 to \$24,999.....	197
\$25,000 to \$34,999.....	168
\$35,000 to \$49,999.....	88
\$50,000 to \$74,999.....	56
\$75,000 to \$99,999.....	2
\$100,000 to \$149,999.....	5
\$150,000 or more.....	0
Median household income (dollars).....	14,838

Families.....	835
Less than \$5,000.....	128
\$5,000 to \$9,999.....	154
\$10,000 to \$14,999.....	123
\$15,000 to \$24,999.....	151

\$25,000 to \$34,999.....	150
\$35,000 to \$49,999.....	82
\$50,000 to \$74,999.....	45
\$75,000 to \$99,999.....	2
\$100,000 to 149,999.....	0
\$150,000 or more.....	0
Median family income (dollars).....	15,539

Nonfamily households.....	204
Less than \$5,000.....	92
\$5,000 to \$9,999.....	35
\$10,000 to \$14,999.....	8
\$15,000 to \$24,999.....	43
\$25,000 to \$34,999.....	12
\$35,000 to \$49,999.....	8
\$50,000 to \$74,999.....	1
\$75,000 to \$99,999.....	0
\$100,000 to 149,999.....	5
\$150,000 or more.....	0
Median nonfamily household income (dollars).....	5,944

Per capita income (dollars).....	5,185
----------------------------------	-------

#### **INCOME TYPE IN 1989**

Households.....	1,039
With wage and salary income.....	740
Mean wage and salary income (dollars).....	17,309
With nonfarm self-employment income.....	69
Mean nonfarm self-employment income (dollars).....	6,078
With farm self-employment income.....	171
Mean farm self-employment income (dollars).....	14,109
With Social Security income.....	211
Mean Social Security income (dollars).....	4,679
With public assistance income.....	344
Mean public assistance income (dollars).....	4,038
With retirement income.....	80
Mean retirement income (dollars).....	6,831

#### **POVERTY STATUS IN 1989**

All persons for whom poverty status is determined.....	3,735
Below poverty level.....	1,769
Persons 18 years and over.....	2,102
Below poverty level.....	945
Persons 65 years and over.....	235
Below poverty level.....	69
Related children under 18 years.....	1,623
Below poverty level.....	814



Related children under 5 years.....	448
Below poverty level.....	229
Related children 5 to 17 years.....	1,175
Below poverty level.....	585
Unrelated individuals.....	401
Below poverty level.....	268
All families.....	835
Below poverty level.....	343
With related children under 18 years.....	641
Below poverty level.....	293
With related children under 5 years.....	328
Below poverty level.....	157
Female householder families.....	257
Below poverty level.....	152
With related children under 18 years.....	210
Below poverty level.....	127
With related children under 5 years.....	106
Below poverty level.....	69

#### **PERCENT BELOW POVERTY LEVEL**

All persons.....	47.4
Persons 18 years and over.....	45.0
Persons 65 years and over.....	29.4
Related children under 18 years.....	50.2
Related children under 5 years.....	51.1
Related children 5 to 17 years.....	49.8
Unrelated individuals.....	66.8
All families.....	41.1
With related children under 18 years.....	45.7
With related children under 5 years.....	47.9
Female householder families.....	59.1
With related children under 18 years.....	60.5
With related children under 5 years.....	65.1

#### **LABOR FORCE STATUS**

Persons 16 years and over.....	2,278
In labor force.....	1,320
Percent in labor force.....	57.9
Civilian labor force.....	1,318
Employed.....	1,015
Unemployed.....	303
Percent unemployed.....	23.0
Armed Forces.....	2
Not in labor force.....	958

Males 16 years and over.....	1,133
In labor force.....	718
Percent in labor force.....	63.4
Civilian labor force.....	716
Employed.....	549
Unemployed.....	167
Percent unemployed.....	23.3
Armed Forces.....	2
Not in labor force.....	415

Females 16 years and over.....	1,145
In labor force.....	602
Percent in labor force.....	52.6
Civilian labor force.....	602
Employed.....	466
Unemployed.....	136
Percent unemployed.....	22.6
Armed Forces.....	0
Not in labor force.....	543

Females 16 years and over.....	1,145
With own children under 6 years.....	274
Percent in labor force.....	60.2
With own children 6 to 17 years only.....	212
Percent in labor force.....	70.8

Own children under 6 years in families and subfamilies.....	510
All parents present in household in labor force.....	309

Own children 6 to 17 years in families and subfamilies.....	963
All parents present in household in labor force.....	550

Persons 16 to 19 years.....	265
Not enrolled in school and not high school graduate.....	21
Employed or in Armed Forces.....	1
Unemployed.....	0
Not in labor force.....	20

## COMMUTING TO WORK

Workers 16 years and over.....	1,017
Percent drove alone.....	44.2
Percent in carpools.....	17.8
Percent using public transportation.....	2.5
Percent using other means.....	0.8
Percent walked or worked at home.....	34.7
Mean travel time to work (minutes).....	10.8

## **OCCUPATION**

Employed persons 16 years and over.....	1,015
Executive, administrative, and managerial occupations.....	107
Professional specialty occupations.....	143
Technicians and related support occupations.....	32
Sales occupations.....	23
Administrative support occupations, including clerical.....	166
Private household occupations.....	10
Protective service occupations.....	18
Service occupations, except protective and household.....	160
Farming, forestry, and fishing occupations.....	214
Precision production, craft, and repair occupations.....	54
Machine operators, assemblers, and inspectors.....	9
Transportation and material moving occupations.....	63
Handlers, equipment cleaners, helpers, and laborers.....	16

## **INDUSTRY**

Employed persons 16 years and over.....	1,015
Agriculture, forestry, and fisheries.....	233
Mining.....	0
Construction.....	40
Manufacturing, nondurable goods.....	13
Manufacturing, durable goods.....	0
Transportation.....	34
Communications and other public utilities.....	10
Wholesale trade.....	17
Retail trade.....	81
Finance, insurance, and real estate.....	17
Business and repair services.....	22
Personal services.....	19
Entertainment, and recreation services.....	0
Health services.....	63
Educational services.....	206
Other professional and related services.....	64
Public administration.....	196

## **CLASS OF WORKER**

Employed persons 16 years and over.....	1,015
Private wage and salary workers.....	275
Government workers.....	534
Local government workers.....	137
State government workers.....	85
Federal government workers.....	312
Self-employed workers.....	196
Unpaid family workers.....	10

## **URBAN AND RURAL RESIDENCE**

Total population.....	3,761
Urban population.....	0
Percent of total population.....	0.0
Rural population.....	3,761
Percent of total population.....	100.0
Farm population.....	589

## **SCHOOL ENROLLMENT**

Persons 3 years and over enrolled in school.....	1,399
Preprimary school.....	146
Elementary or high school.....	1,106
Percent in private school.....	4.9
College.....	147

## **EDUCATIONAL ATTAINMENT**

Persons 3 years and over enrolled in school.....	1,794
Less than 9th grade.....	265
9th to 12th grade, no diploma.....	303
High school graduate.....	578
Some college, no degree.....	315
Associates degree.....	156
Bachelor's degree.....	138
Graduate or professional degree.....	39
Percent high school graduate or higher.....	68.3
Percent bachelor's degree or higher.....	9.9

## **DISABILITY OF CIVILIAN NON-INSTITUTIONALIZED PERSONS**

Persons 16 to 64 years.....	2,041
With a mobility or self-care limitation.....	99
With a mobility limitation.....	33
With a self-care limitation.....	80
With a work disability.....	138
In labor force.....	19
Prevented from working.....	108
Persons 65 years and over.....	235
With a mobility or self-care limitation.....	77
With a mobility limitation.....	74
With a self-care limitation.....	47

**Attachment 3-1F:  
Sample Information from the  
1995 BIA Labor Force Report**



Reservation	BIA Total	Years of Age			Unable to Work			Total Potential Labor Force (3+4+5+6)	Potential Labor Force			Total Labor Force (12+13)	Labor Force			Earn \$9,048 or More
		Under 16 (2)	16-64 (3)	Over 64 (4)	Student (5)	Other (6)	Total Employed (8)		Total Not Employed (9)	% Not Employed (10)	Total Employed (12)		Total Seeking Work (13)	% Unemployed (14)	Total (15)	
ARIZONA																
Central California	200	68	116	16	6	24	102	50	52	51%	58	50	8	37	32%	
Andy Rancheria	325	130	190	5	3	130	62	20	42	69%	23	20	3	20	11%	
Valley Rancheria	1,350	385	879	108	103	143	739	488	251	34%	699	488	211	322	37%	
Chippewa Rancheria	45	14	30	1	3	8	20	12	8	40%	12	12	0	0	27%	
Chippewa Rancheria	80	49	28	1	18	11	37	37	12	24%	37	37	0	37	142%	
Pine Reservation	298	78	202	18	27	33	158	110	48	30%	147	110	37	65	32%	
Pine Reservation	200	112	85	3	22	11	55	47	8	15%	53	47	6	25	0	
Pine Reservation	146	68	73	5	14	15	47	28	23	47%	39	28	13	24	33%	
La Valley (Pomo)	48	12	10	28	1	11	24	9	15	63%	18	9	9	7	70%	
Palute Reservation	304	91	189	14	22	48	143	104	39	27%	143	104	39	104	52%	
Creek Rancheria	367	133	219	15	60	28	148	119	27	18%	144	119	25	89	41%	
Creek Rancheria	55	18	30	7	1	11	25	14	11	44%	25	14	11	11	37%	
Port Colony	1	0	1	0	0	0	1	1	0	0%	1	1	0	0	0%	
Vista Rancheria	10	5	5	0	0	0	3	4	0	0%	4	4	0	3	60%	
Ken Ranch Rancheria	273	174	54	45	53	48	0	73	0	0%	73	73	0	54	100%	
Arda Rancheria	285	128	120	17	12	8	116	13	103	89%	65	13	52	20	35%	
Springs Rancheria	71	6	57	8	0	7	58	28	32	55%	38	28	10	20	15%	
sa Rancheria	178	64	107	7	10	38	68	18	48	73%	65	18	47	72	46%	
Valley Band	281	129	155	7	12	3	147	115	32	22%	125	115	10	72	0%	
Creek Rancheria	402	285	116	1	4	320	NR	NR	NR	ERR	NR	NR	NR	NR	0%	
Prize Rancheria	380	113	220	27	15	49	183	83	100	55%	168	83	85	18	8%	
Independence Reservation	2,012	402	1,469	141	31	388	1,211	875	338	28%	1,077	875	202	744	51%	
nvilla Rancheria	171	58	111	2	28	10	75	43	32	43%	59	43	16	30	27%	
stone Rancheria	353	184	169	20	8	56	125	38	87	70%	125	38	87	20	12%	
land Rancheria	27	10	15	2	4	12	10	10	2	17%	10	10	0	10	67%	
son Rancheria	504	182	315	27	32	0	310	105	205	66%	214	105	109	80	25%	
onville Rancheria	253	81	152	20	81	34	57	51	6	11%						





**Attachment 3-1G:  
Sample Mail Survey**





# CITY OF ANN ARBOR, MICHIGAN

100 NORTH FIFTH AVENUE, ANN ARBOR, MICHIGAN 48107

## 1992 HOUSEHOLD SURVEY

994-2735

This questionnaire should be completed by an adult member of the household.

Some of the questions ask about the people in your household. By that we mean all those people who reside in your living quarters *whether or not they are related to you.*

To begin, please place an "X" in the box next to the best answer, or fill in the blank space. Please provide complete responses, entering zero where applicable.

1. What best describes the building in which you live?

- ☐ Mobile home or trailer
- ☐ One-family house *detached* from any other house
- ☐ One-family house *attached* to one or more houses (townhouse)
- ☐ Two-family house (duplex)
- ☐ Multi-family house or apartment building

2. How many rooms do you have in your living quarters? (Do not count bathroom, porches, balconies, foyers, hallways, or half-rooms)

\_\_\_\_\_ (fill in number)

3. How many bedrooms do you have?

\_\_\_\_\_ (fill in number)

4. Are your living quarters:

- ☐ Owned (or being bought by a household member)
- ☐ Rented (from someone not in your household)

5. Would you say your house or apartment is in need of little or no repairs, minor repairs, or major repairs?

- ☐ Little or no repairs
- ☐ Minor repairs (such as leaking pipes, cracked plaster, peeling paint)
- ☐ Major repairs (such as holes in ceilings or walls, sagging floors, inadequate wiring)

6. In what month and year did you move into this house or apartment?

Month \_\_\_\_\_ Year \_\_\_\_\_

7. Before you moved to this address, were you living in Ann Arbor or somewhere else?

- ☐ In Ann Arbor
- ☐ Elsewhere within Washtenaw County
- ☐ Elsewhere, outside Washtenaw County

8. How many automobiles, vans or pickup trucks are \_\_\_\_\_ of your household?

9. Does your household participate in any of the following resource recovery activities?

- |                                     | Yes                      | No                       | Don't know               |
|-------------------------------------|--------------------------|--------------------------|--------------------------|
| Recycling (newspapers, glass, etc.) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Composting (grass, leaves, etc.)    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

10. How would you describe your household?

- ☐ One person living alone
- ☐ More than one person, *all related*
- ☐ More than one person, *some related and some unrelated*
- ☐ More than one person, *all unrelated*

11. How many people live in your household?

\_\_\_\_\_ (fill in number)

12. How many children (persons under 18 years old) live in your household? (If none, enter zero)

\_\_\_\_\_ List their ages: \_\_\_\_\_

13. How many adults (persons 18 years or older) in your household are: (If none, enter zero)

- \_\_\_\_\_ Full-time college students
- \_\_\_\_\_ Part-time college students

14. How many adults in your household are:

(If none, enter zero)

- \_\_\_\_\_ 60 years of age or older
- \_\_\_\_\_ Physically handicapped

15. How many adults in your household were employed during the month of December, 1991?

(If none, enter zero)

- \_\_\_\_\_ Full-time (32 hours or more per week)
- \_\_\_\_\_ Part-time (less than 32 hours per week)

16. During December, 1991, how many full-time employed adults worked in: (If none, enter zero)

- \_\_\_\_\_ Ann Arbor
- \_\_\_\_\_ Elsewhere within Washtenaw County
- \_\_\_\_\_ Outside of Washtenaw County

17. Of the total number of adults and children living in your household, how many are included in each of the following categories? (If none, enter zero)

- \_\_\_\_\_ White
- \_\_\_\_\_ Black or Negro
- \_\_\_\_\_ American Indian
- \_\_\_\_\_ Asian/Pacific Islander

Your answers to the previous questions offer a valuable perspective on the housing and population characteristics of city households. To complete this picture, it is important to ask a few questions about household finances.

Please estimate the total household income (before taxes) from all sources in 1991. Include the income of all household members from employment sources as well as pensions, social security, unemployment, welfare, support from parents and other compensation.

\$ \_\_\_\_\_

I. FOR OWNERS: (Renters, skip to section II below)

a. What is the monthly payment for your house?

\$ \_\_\_\_\_

b. Does this payment include your property taxes?

- ☐ Yes ☐ No

c. What are your average monthly utility costs during the winter months (November through March)? Write in amount.

Electricity \$ \_\_\_\_\_ per month

Heating Costs \$ \_\_\_\_\_ per month

II. FOR RENTERS:

a. What is the total monthly rent for your living quarters?

\$ \_\_\_\_\_

b. What are your average monthly utility costs during the winter months (November through March)? Write in amount.

Included in Rent?

Don't know

Electricity \$ \_\_\_\_\_ Yes ☐ No ☐

Heating Costs \$ \_\_\_\_\_ Yes ☐ No ☐

c. Are major furnishings (beds, dressers, kitchen tables, couches, etc.) included in your rent?

☐ Yes ☐ No ☐ Do not know

If you have any questions please call Jr. J. McCarthy, Survey Research Administrator, at 994-2735.

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Please complete this questionnaire and mail it to our office within one week.

Simply fold, moisten the adhesive strip, and place in the mail.

No postage is required.

Thank you for your participation in the Ann Arbor Household Survey.

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**BUSINESS REPLY MAIL**

FIRST CLASS MAIL PERMIT NO. 980 ANN ARBOR, MI

POSTAGE WILL BE PAID BY ADDRESSEE

INFORMATION SERVICES DEPT  
CITY OF ANN ARBOR  
PO BOX 8647  
ANN ARBOR MI 48107-9979

NO POSTAGE  
NECESSARY  
IF MAILED  
IN THE  
UNITED STATES



**Attachment 3-2: Sample  
Community Meeting Agenda**



## ATTACHMENT 3-2: SAMPLE COMMUNITY MEETING AGENDA

### SAMPLE COMMUNITY MEETING AGENDA TOPIC: THE NEED FOR SPECIALIZED TYPES OF HOUSING

#### DETAILS

- 6:00 p.m. – 9:30 p.m. in Room 4201, Bear Mountain Village Meeting Center.
- Room capacity 150 (be sure to pick a room that is large enough to handle the number of community members that you expect to attend, given the size of your Tribe).
- Notices and invitations to attend were: posted at local libraries and public offices; mailed to relevant public interest groups and non-profits; distributed to Tribe/TDHE staff members, tribal leaders; and published in the tribal newspaper.

#### AGENDA

6:00 – 6:05	Welcoming, Overview of the Agenda, and Introductions by Tribal Leader, Housing Department Director, or Task Force Leader. <b>(this should be conducted by a relatively high-ranking person to give weight and importance to your efforts)</b>
6:05 – 6:15	Overview of the Housing Planning Process by the Meeting Moderator <b>(the moderator needs to be skilled in overseeing this type of large public undertaking)</b>
6:15 – 7:15	Discussion of the Need for Elderly Housing Units – units currently available, unmet needs, location of need, type of special modifications or services need <b>(the moderator leads this discussion and asks question or raises issues for the meeting participants to comment on)</b>
7:15 – 7:30	Break
7:30 – 8:30	Discussion of the Need for Shelter Beds for Homeless Families – shelter-nights currently available, unmet needs, locations of need, type of units and services needed <b>(the moderator leads this discussion and asks question or raises issues for the meeting participants to comment on)</b>
8:30 – 9:25	Discussion of the Need for Housing for the Chronically Mentally Ill – type of specialized units currently available, unmet needs, locations of need, type of units and services needed <b>(the moderator leads this discussion and asks question or raises issues for the meeting participants to comment on)</b>
9:25 – 9:30	Closing Remarks by Tribal Leader, Housing Department Director, or Task Force Leader. <b>(should let people know the next steps in the process and what will happen with the information that was collected)</b>





**Attachment 3-3: Pro/Con Table  
for Data Collection Methods**



### ATTACHMENT 3-3: PRO/CON TABLE FOR DATA COLLECTION METHODS

Source	Pros	Cons
Internet	<ul style="list-style-type: none"> <li>• Data is accessible and fast</li> <li>• Searches can be done at any time</li> <li>• Numerous sources of information</li> </ul>	<ul style="list-style-type: none"> <li>• Internet searches can be frustrating and overwhelming</li> <li>• Internet access costs money</li> <li>• Data on the Internet is not always correct; it is often hard to tell a good source from a bad one</li> </ul>
Federal Agencies	<ul style="list-style-type: none"> <li>• Data is generally accessible</li> <li>• Data is typically reliable</li> </ul>	<ul style="list-style-type: none"> <li>• Data may not be specific enough to your tribe</li> <li>• Data may be incomplete</li> </ul>
Census Data	<ul style="list-style-type: none"> <li>• Data is collected in a uniform and unbiased manner</li> <li>• Data is comparable and consistent with other tribes</li> <li>• Special tabulations for individual tribes may be available</li> <li>• A great deal of Census data is easy to access, through offices and on the Internet.</li> </ul>	<ul style="list-style-type: none"> <li>• Data from 1990 Census may be outdated</li> <li>• Because data has been collected by samples, it may not represent small (population under 250) communities accurately</li> <li>• Data is collected geographically; tribal members not in the Indian area are excluded</li> <li>• Many Native Americans (up to 12%) were not counted in the 1990 Census</li> </ul>
Community Meetings	<ul style="list-style-type: none"> <li>• Ensures group representation in the plan</li> <li>• Addresses concerns of members</li> </ul>	<ul style="list-style-type: none"> <li>• Must be well-organized, which takes time and other resources</li> <li>• If turnout is small, the views may not represent the diversity of the community</li> <li>• Can devolve into a forum for unrelated issues</li> <li>• May focus more on problems than solutions</li> </ul>
Written Surveys	<ul style="list-style-type: none"> <li>• Relatively inexpensive</li> <li>• Helps narrow feedback through use of specific questions</li> </ul>	<ul style="list-style-type: none"> <li>• Little room for open-ended questions</li> <li>• Possible low rates of response</li> </ul>
Interviews	<ul style="list-style-type: none"> <li>• Room for open-ended questions</li> <li>• You know when you will get the information</li> <li>• Allows opportunity to gather detailed information</li> </ul>	<ul style="list-style-type: none"> <li>• Requires the time of a skilled interviewing staff</li> <li>• People may feel intruded upon</li> </ul>
Indian Housing Authority	<ul style="list-style-type: none"> <li>• May contain data not available elsewhere</li> <li>• Often the only other source of housing stock information</li> </ul>	<ul style="list-style-type: none"> <li>• Records may be incomplete</li> </ul>
Institutions (e.g., universities, foundations, non-profits)	<ul style="list-style-type: none"> <li>• May have data on diverse subjects</li> <li>• Data may have already been analyzed, making it easier to use</li> </ul>	<ul style="list-style-type: none"> <li>• Obtaining data may involve contacting a variety of people and/or groups</li> <li>• Analysis of data may be skewed towards outcome institution desired</li> </ul>



## **Attachment 3-4: Tips for Working with Data**



# TIPS FOR WORKING WITH DATA

This attachment is designed as a refresher on some basic techniques for analyzing and computing data and for presenting it in a manageable form.

## OVERVIEW

- ☐ Before you can complete an analysis of your tribe's basic housing issues, you need to select the data for that analysis.
- ☐ Obviously, you do not want to use all of your data to analyze all of your housing problems.
  - Some data pertains only to some issues!
  - Some data fails to indicate trends or is irrelevant!
- ☐ Consider using one of three methods in selecting the data for the analysis of the three key housing issues:
  - The Colored Marker Method;
  - The Jeopardy Method; and
  - The Q&A Approach.
- ☐ The section below will explain how to use each of these methods effectively.

## USING THE COLORED MARKER METHOD

### Overview

- ☐ The Colored Marker approach is a good way to begin to look at the data and become familiar with the numbers.
- ☐ Under this method, you would pull out a chart pertaining to a given issue area and then highlight all of the interesting data on this chart.
  - For example, if you were looking at affordability, you might pull out the HUD Data Book chart on "Ability to Pay" and highlight all family sizes that pay more than 30% for rent.

## Steps

(1) Using different colored highlighters go through the data looking for:

<b>Ranges</b>	Income of the players on the tribe's baseball team earn between \$25,000 and \$100,000.
<b>Outliers</b>	If everyone in the tribe bats 0.275, Bob's 0.380 batting average is an outlier
<b>Distributions</b>	Team player distribution: 5 people are in the outfield, 2 play short stop, 1 is the pitcher
<b>Discrepancies</b>	The data says the team has won every game but the team's batting average is only 0.175
<b>Trends</b>	The team has won 94 games in a row.

Assign each of these topics a "team color" so that at a quick glance you can look at your data tables and pull out important numbers (i.e., make either end of the range blue or highlight in yellow the distribution groups).

(2) As you highlight numbers, ask yourself what do these numbers tell me? Where can I get more information?

- Look at other sources of data to confirm or deny the information you have highlighted.
- Go back and collect more information about any highlighted area where your data is incomplete or inconclusive.
- Remember that data collection and data analysis are a feedback loop! Each time you analyze data you want to decide whether you need to collect any additional, clarifying information.

(3) Decide what the highlighted numbers mean for your issue area of interest.

- +/-5% is acceptable standard of error
- Use both percents and numbers
- Define terms you are using, for example:  
⇒ An outlier is any value that is x% from the average value

(4) Use your highlighted areas to write an overall description of particular issues and trends in your tribe.



# USING THE JEOPARDY METHOD

## Overview

- ❑ In the game “Jeopardy”, the answers appear on the board, and you, as a player, have to give the correct question. This approach can be used for analyzing your housing data.
- ❑ You take the assumptions you have about a given issue area, such as, affordability, and put them on the “board”.
- ❑ Then you set out to prove whether this assumption is true or false.

## Steps

(1) Organize and discuss your answers with your colleagues

- Brainstorm about the issue area you are about to tackle
- Discuss the following:
  - ⇒ Who do we think are some of the problems?
  - ⇒ What do we think the data will say about this issue?
  - ⇒ What has been our experience with this issue in the past?
- Then, come up with a list of assumptions about that issue area.
- For example, you might come up with a list like:
  - ⇒ Most of the people in substandard housing are elderly homeowners.
  - ⇒ Over-crowding is a major problem throughout the tribe.
  - ⇒ A higher percentage of single parent heads of household experience rent burden.
- You can use different approaches to organizing or stating your assumptions:
  - ⇒ Outline
  - ⇒ Story/paragraphs
  - ⇒ Main concerns/topics/issues
  - ⇒ List, then prioritize
  - ⇒ Being interviewed and answering questions

(2) Now that you have stated the answers, develop a series of questions to test your hypotheses.

- Take each answer/concern/fact and decide:
  - ⇒ What questions can I ask to determine whether my hypothesis is true?
  - ⇒ What indicators will answer the questions?

(3) Look at the data that will assist you to answer these questions.

- Be honest about what the data says about your hypotheses! -- Be sure that you don't make the data say what you believe it will.
- Rather, look at the indicators that might answer your question and decide whether they prove your theory.

(4) If your theory is disproved, develop a new theory based upon what you found during your analysis of the indicators.

- For example, assume that your original hypotheses about affordability was that only families earning less than \$10,000 pay more than 50% of their income for rent.
- However, when you reviewed the data, you found that people earning \$15,000 paid an average of 53% of their income toward rent. Thus, your hypothesis has been disproved.
- You might now want to make a new hypothesis that says that people earning less than \$20,000 pay more than 50% of their income toward rent.
- You would then look at the data on families earning less than \$20,000 to see if this hypothesis is true.

## USING THE Q&A APPROACH

### Overview

- ☐ This strategy allows you to use the information you already know about your tribe to organize how you will do the analysis.
- ☐ Based on the experience of the key actors involved, you will be able to ask questions that will tell you about your tribe's housing issues.
- ☐ There are different ways to use this game plan that will help organize your presentation and choose your priorities and strategies.

### Steps

(1) Ask questions about a given issue area, such as availability:

- Is the total supply of housing keeping up with the demand?
- Are some categories of housing particularly in short supply?

- Are some segments of the supply more inadequate than others?
- Are some groups or types of households (i.e., households with children) barred from enjoying benefit of some neighborhoods or tenure types?

(2) In asking/developing the questions, keep in mind:

- The data required for the IHP.
- What your residents would like to know.
- Questions arise as you work through the data.

(3) Answer the questions you have developed:

- Find the data that answers each questions.
- Use the answers to develop more questions and fill in the story about your tribe.

(4) Link the questions and answers:

- Find relationships between the answers.
- Look for trends.
- Relate to resources and other issues.

☐ The Q&A method forces you to take an “interrelated” approach to data analysis.

☐ By looking at the data through a series of different questions, you will be better prepared for developing priorities and strategies.

### ADVANTAGES AND DISADVANTAGES OF EACH GAME PLAN

Game Plan	Advantages	Disadvantages
Colored Marker Method	<ol style="list-style-type: none"> <li>1. Allows you to become very familiar with the data</li> <li>2. Perhaps the easiest model</li> <li>3. Takes a global look at the information analysis and topics</li> </ol>	<ol style="list-style-type: none"> <li>1. May miss important "middle ground" information</li> <li>2. Numbers differ without any importance to the given issue area</li> <li>3. Finds abnormalities rather than a summary picture</li> </ol>
Jeopardy Method	<ol style="list-style-type: none"> <li>1. Uses expertise and experience of staff</li> <li>2. Could be a quick way to recognize the obvious, important problems</li> <li>3. Lets you build on existing findings and conclusions</li> </ol>	<ol style="list-style-type: none"> <li>1. Inductive reasoning -- your bias about what the problems are may prevent you from discovering actual/additional problems</li> <li>2. May require several rounds of analysis as you prove and disprove your theories</li> </ol>
Q&A Approach	<ol style="list-style-type: none"> <li>1. Helps you relate "cause and effects" to give a whole picture</li> <li>2. With a "categories" approach -- following the required IHP data -- provides a systematic way to make sure you are covering all the necessary information</li> <li>3. Generally a recommended approach by data professionals</li> </ol>	<ol style="list-style-type: none"> <li>1. May cause you to look at data repeatedly as you go through all the numbers</li> <li>2. Need to have enough knowledge to develop appropriate questions and to look for appropriate indicators/answers</li> </ol>

## TROUBLESHOOTING AND POTENTIAL PROBLEMS

### ☐ Market myth vs. reality.

- As you conduct your data analysis, be sure to separate your tribe's myths and desires about the data from what it actually says.
- For example, the fact that the head of the tribal council wants to do a first-time homebuyer program is not a good reason to force the data to say that one is needed.
- For example, just because you used to have a problem with a lack of housing supply does not mean you do now!

### ☐ Conflicting data -- what to do when the numbers don't add up.

- Whenever there are large increases in numbers or percentages, you should check the calculations, the data source, and collection methods.
- Do not always take the numbers at face value -- dig deeper and find their true meaning.

☐ Anecdotal data

- This contextual information can be key to understanding what your data really says.
- If you look at your information and it makes little or no sense to you, ask someone who should know.

## AVERAGES: MEAN, MODE, AND MEDIAN

This section is designed as a refresher course on the math basics.

### What is it?

- ☐ Most people think of averages as the sum of a series of numbers divided by the total number of objects in the series.
- ☐ However, there are really three types of averages: mean, mode, and median.

### Mean

- ☐ The **mean** is often referred to as the arithmetic average.
- ☐ For example, let's say you wanted to find mean income in your jurisdiction. The chart below shows the results of your data collection effort. (Incomes have been rounded for this example.)

Income	Number of Households with this Income
\$ 5,000	300
\$10,000	400
\$15,000	600
\$20,000	800
\$25,000	400
\$30,000	300
\$35,000	400
<b>TOTAL</b>	3,200

- ☐ The mean income in your area is \$19,844. This is calculated as:

<u>Income</u>	<u>Household</u>		<u>Total</u>
\$ 5,000 x	300	=	\$ 1,500,000
\$10,000 x	400	=	\$ 4,000,000
\$15,000 x	600	=	\$ 9,000,000
\$20,000 x	800	=	\$16,000,000
\$25,000 x	400	=	\$10,000,000
\$30,000 x	300	=	\$ 9,000,000
\$35,000 x	400	=	\$14,000,000
Total	3,200		\$63,000,000

\$63,000,000 (total amount) divided by 3,200 (total number in the series) = \$19,844.

## Mode

- ☐ The **mode** is the value (or number) that occurs most frequently.
- ☐ In our example above, 800 families are in the \$20,000 column; making it the most frequent value.
- ☐ Therefore, the mode = \$20,000.

## Median

- ☐ The **median** is the midpoint value of the middle case -- half the households earn more, half earn less.
- ☐ To get the median, you would have to find out the income of the 1,600th household in our community (3,200 total households divided in half).
- ☐ This means that if you arrayed your households from richest to poorest, the family holding the 1,600th spot would be at the median.
- ☐ For example, that household could be the Smiths and let's say their income is \$20,220, therefore:

Median = \$20,200

## Hints About Mean, Mode, and Median

- ☐ Use median if what you want to describe are the typical conditions in your tribe.
  - Since that family's income is half way from each side of the spectrum, they are a good example of what an average person in your community faces -- half of the families do worse and half do better.

- ☐ Do not use mean if what you intend to do is describe these as typical conditions.
  - Since mean is calculated as an average of a range of numbers, very high or very low entries can throw off the mean and give a misperception of results.

- ☐ For example, let's say that instead of the chart that we displayed earlier, the following was your tribe's income profile:

Income	Number of Households with this Income
\$ 5,000	300
\$10,000	400
\$15,000	600
\$20,000	800
\$25,000	400
\$30,000	300
\$35,000	380
\$1,000,000	20
<b>TOTAL</b>	3,200

- ☐ Now, your mean household income is \$25,875 -- considerably higher than the \$19,844 we found earlier, with the exact same number of households.
- ☐ Yet, the Smiths who earn \$20,200 are still the median because their place in line as the 1,600th richest family has not changed.
- ☐ Thus, the addition of our 20 millionaires to the sample greatly increased the mean but did not affect the typical housing conditions or the median. Half of your families still earn less than the Smiths.
- ☐ Do use mean in those select circumstances where you want to measure and include the effects of 'outlier' data.
  - An outlier is a data point that falls outside the normal range of the remainder of the data, either on the high or low end of the data set, and therefore may not represent the entire data set well.

- For example, one neighborhood may report a disproportionately high amount of low-income residents because services are available most readily there. This “outlier” should be included in the data presented.

☐ Use mode to describe the shape or distribution of your information.

- When you have data that is very “lumpy” or unevenly distributed, this will be particularly important.
- For example, think of a community that looks like this:

Income	Number of Households with this Income
\$ 5,000	10
\$10,000	150
\$15,000	0
\$20,000	0
\$25,000	0
\$30,000	0
\$50,000	100
\$100,000	100
<b>TOTAL</b>	360

- Your mean income is \$45,972.
- Your median is (for example) \$52,000.
- But your mode is \$10,000.
- Looking at your mean and median, it doesn’t look like you have much of an affordability problem. But, by looking at your mode, you can tell that it is likely that you do.

## PERCENTAGES VS. RAW NUMBERS

☐ Percentages can help show the relationship of one number to a larger number.

- For example, you might have twice as many low-income households in one neighborhood than in another, but if the percentage of those low-income households in relation to all the households in each neighborhood is very low, the significance of the comparison is not very great.



## ABSOLUTE NUMBERS VS. PERCENT CHANGE

- ☐ Also use percents to show changes (increases or decreases).
  - For example, you might want to show the increase in local jobs or the decrease in housing supply.
- ☐ Use both a number and the percent change to show the relationship between the original number and the new number. This will put the information in the proper context.
  - For example, don't just say population increased by 20%. Say population increased by 20% from 100,000 people to 120,000 people.
- ☐ This helps people to put percentages into context.
  - For example, you might find that you had a 100% increase in homeless families over the past year. But, the increase may be only from three households to six households.

## COMPARED TO WHAT...?

- ☐ Comparisons can be a very useful way of looking at your data.
- ☐ In comparing your data to national or regional data, make sure:
  - The same measures are being used.
  - Other "rules" like using both percents and raw numbers, and absolute and percentage changes are being followed.
  - National or regional data is used to see if your community is:
    - ⇒ Average -- the results are about the same
    - ⇒ Below average -- your community is doing worse, has less resources, has more households in the very low income range -- define how you compare the numbers.
    - ⇒ Above average -- your community is doing better than average
  - To compare your tribe to another tribe county in the same region.



## **Attachment 3-5: Presenting Data**



## ATTACHMENT 3-5: PRESENTING DATA

### GRAPHICS FOR PRESENTING DATA

- ☐ Graphics displays do not totally replace reports and displays of numbers and text material. However, trends, problems, and opportunities hidden in data are easier to spot through the use of line and bar graphs, pie charts, pictorial charts and other presentation graphics.
- ☐ There are benefits and limits associated with each of the types of presentation graphics as follows:

Graphics	Advantages	Disadvantages
Line Charts	<ul style="list-style-type: none"><li>• Show time and magnitude of relationships well</li><li>• Can show many points</li><li>• Degree of accuracy is adjustable</li><li>• Easily read</li></ul>	<ul style="list-style-type: none"><li>• Limited to number of lines for comparisons without becoming too complex</li><li>• Spacing can be misleading</li></ul>
Bar Charts	<ul style="list-style-type: none"><li>• Good for comparisons</li><li>• Emphasizes one point</li><li>• Accurate</li></ul>	<ul style="list-style-type: none"><li>• Limited to one point</li><li>• Spacing can be misleading</li></ul>
Pie Charts	<ul style="list-style-type: none"><li>• Good for monetary comparisons</li><li>• Good for part versus whole comparison</li><li>• Very easily understood</li></ul>	<ul style="list-style-type: none"><li>• Limited usage</li><li>• Limited precision</li><li>• Tend to oversimplify</li></ul>
Pictorial Charts	<ul style="list-style-type: none"><li>• Very easily understood</li><li>• Easily constructed</li></ul>	<ul style="list-style-type: none"><li>• Limited usage</li><li>• Limited precision</li><li>• Tend to oversimplify</li></ul>
Maps	<ul style="list-style-type: none"><li>• Can show geographic concentrations and trends</li></ul>	<ul style="list-style-type: none"><li>• Requires advanced software to generate</li><li>• Requires availability of extensive database</li><li>• Need thorough explanation to understand</li></ul>

- ☐ Tables, charts, and figures should be integrated into the text -- appearing near that portion of the text discussing them.
- ☐ It is best to:
  - Describe the purpose for presenting the graphic,
  - Present it, and
  - Review it and interpret it.

### Line Chart

- ☐ Line charts are most useful for showing changes over time, whether from the past to the present or for making predictions into the future.

- The timeline consists of an x and y axis in which the y represents the variable to be compared over time and x represents the date of measurement.
- The easiest form of the timeline is the connect the dots technique in which a point is marked at the intersection of each known x and y variable and the dots are connected as a series of connected lines.
- There is some measure of uncertainty, however, associated with this method because it implies that points in between connected dots represent actual data where they do not.

## Bar Charts

□ The height of each bar is proportional to the number it represents.

- Parallel bars are typically used to show comparisons of up to four sets of numbers.
- Bars are graphically simple and most useful where there are multiple sets of numbers, with each set showing a different comparison are used.
  - ⇒ It is first necessary to determine how to group the bars. Usually there are at least two ways, because two or more issues or variables are being compared.
  - ⇒ It is common to select the variable or issue with the fewest subcategories as the basis for the adjacent bars and the variable with the greater number of categories as the basis for separating the sets of bars.
  - ⇒ If each variable has three to five categories, there is ambivalence as to the most effective organization.
- The bars must be organized to facilitate comparisons critical to the issues in the verbal presentation of the data.
  - ⇒ The most prominent feature of the bar chart is the difference in height of adjacent bars.
  - ⇒ Changes in height differences from one set of bars to the next should govern the visual organization of the chart.
  - ⇒ If the goal is to focus attention on the differences between groups by one variable, the bars should be arranged by that variable.
  - ⇒ It may be useful to combine nonrelevant data into a bar or category labeled "other" or to redefine and retitl the bar diagram so that data is eliminated.
  - ⇒ When reorganizing and combining parallel bars, it is effective to limit each set of bars to two or three as visual comparisons will become difficult with any more.
- The vertical scale for the bars plays a role in the visualization of the height differences between bars.
  - ⇒ If a low starting point is used, the differentials will be less obvious.

- ⇒ However, you should not exaggerate your use of scale to overplay height differences that do not realistically represent the data.

## Circles and Pie Charts

- The size of each piece of the pie chart is proportional to a statistical frequency.
  - The sum total of the statistics must be 100 percent and of the slices is 360 degrees.
  - The pie chart is graphically simple and powerful, but must be handled skillfully so that is visually clear.
  - The number and size of the pie slices should be controlled. Small slices can be combined into larger categories to reduce visual clutter.
    - ⇒ Important numbers to be presented should be identified and if some numbers are not relevant, they should be combined and labeled “other”.
    - ⇒ The numbers may also be recalculated so that only relevant statistics are included in the circle. The subset should then be recalibrated so that it totals 100 percent and the circle is 360 degrees.
  - After the number and size of the pie slices have been determined, their sequence must be established.
    - ⇒ Most viewers will read the largest slice first and/or the slice located in the upper left.
    - ⇒ Subsequent slices are read in clockwise and/or descending order of size.
    - ⇒ The largest slice should be presented in the upper left or the left center of the diagram and then subsequent percentages should be presented in descending order in a clockwise fashion.
    - ⇒ If the narrative, however, addresses statistics in a specific sequence, that sequence should be used to determine the order of the pie slices.
  - An effective variation of the pie chart illustrates one or more of the slices pulled out from the circle.
    - ⇒ Each of the slices pulled out can be subdivided further.
    - ⇒ Two levels of statistics can be shown: the slice that is pulled away is shown relative to the rest of the circle, while the components of that slice show a second, more detailed, level of statistics.

## Pictorial Charts

- It may be useful to give the presentation a more exotic flavor by animating or emphasizing the graphics.

- Pictorials can grab reader interest and emphasize data.
- The image should clearly indicate the intention and subject area behind the statistics.
- Many of the rules that apply to other forms of graphic presentation should be followed when using pictorials.
  - ⇒ Oversimplification should be avoided.
  - ⇒ Scale should not be exaggerated.
  - ⇒ Highlighting or shading is useful to indicate relevant subsets of the whole set of statistics.
  - ⇒ Labels and titles should be simplistic but comprehensive in defining the meaning of the pictorials.

## Maps

- ❑ Maps are a very good way of showing geographic information.
  - For example, you should put your information about racial/ethnic and income concentrations on a map. This will easily allow you to show where these concentrations are located.

## Sets

- ❑ A set is useful for displaying and comparing groups of data that are not mutually exclusive, that is, there are data that fall into both categories.
  - The intersection of the two circles represents the number and/or percent of the overall population that falls within both circles.
  - The remainder of each of the two circles displays the number and/or percent of the population that only falls into one of those categories.
  - The area outside both circles shows the number or percent of the population that falls in neither of the categories.
  - The same data could be shown in a table of two columns and two rows.
    - ⇒ The set focuses audience attention on specific numbers and issues.
    - ⇒ The intersection of the two circles is presumably the target population.
    - ⇒ The other statistics in the circles but outside the intersection appear to be less relevant to the current discussion.
  - The diagram becomes too complex when more than three circles must be overlapped and should be avoided.





## CHAPTER 4: WRITING THE FIVE YEAR PLAN

This chapter provides in-depth information on how to write the Five Year Plan, including:

- ☐ Developing an effective mission statement.
- ☐ Determining goals and objectives.
- ☐ Selecting activities for the plan.

### OVERVIEW AND PURPOSE

- ☐ The Five Year Plan is the long-range portion of the IHP that provides an end goal that will be worked toward year by year.
- ☐ The Five Year Plan must cover a fixed five-year period beginning with the fiscal year for which the plan is submitted. It covers five consecutive years from the first year forward. For example, if a recipient submitted its first five-year IHP in 2001, that Five Year Plan will cover the period of 2001 to 2005. A recipient will not have to submit another Five Year Plan until 2005 to cover the period of 2006-2010.
- ☐ There is no requirement to update or submit a new Five Year Plan each year. Amendments are allowed, but not required, if the tribe wants to change one of the elements of the Five Year Plan. The tribe need not submit the amendment to HUD, but may provide a copy of the revised plan as information.

### COMPONENTS OF THE FIVE YEAR PLAN

- ☐ The Five Year Plan consists of the three following narrative components:
  - Mission Statement. The mission statement should be a general statement of the mission of the recipient to serve the needs of the low-income families in the jurisdiction of the tribe during the five-year period covered by the plan. (NAHASDA Statute, Section 102(b)(1)).



Refer to Section 102b of the NAHASDA Statutes for additional information on the components of the Five Year Plan.

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### NOTES

## Chapter 4: Writing the Five Year Plan

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- **Goals and Objectives.** This element of the plan must include a statement of the goals and objectives of the tribe to enable it to serve the needs identified in the mission statement. (NAHASDA Statute, Section 102(b)(2)).
- **Activities Plan.** The Activities Plan is an overview of the activities planned during the five-year period including an analysis of the manner in which the activities will help the tribe to meet its mission and goals and objectives. (NAHASDA Statute, Section 102(b)(3)).

### MISSION STATEMENT

- ☐ The first required narrative element of the Five Year Plan is the Mission Statement. The Mission Statement for the IHP states the mission of the recipient to serve the needs of the low-income families in the jurisdiction of the Indian tribe.
- ☐ Under NAHASDA, a tribe's jurisdiction is defined as its "Indian Area." NAHASDA defines "Indian Area" as:
  - The area within which an Indian tribe operates affordable housing programs, or
  - The area in which a TDHE is authorized by one or more Indian tribes to operate affordable housing programs.
- ☐ Under the IHP requirements, the Mission Statement should be designed to cover the full five-year period.
- ☐ An effective mission statement is a concise written statement that serves to communicate an organization's reason for existence -- its purpose. A mission statement typically focuses on the change that an organization would like to see occur and provides the focus and momentum needed to achieve the desired change.
- ☐ An effective mission statement includes the following elements.
  - A values statement:



#### Remember!

The mission statement is a statement of the tribes' vision and priority. The mission statement needed for the IHP is for the purposes of *housing*, and not for all issues or services that the recipient may be concerned with or offer (such as health care or transportation).

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### NOTES

## ***Chapter 4: Writing the Five Year Plan***

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- ⇒ This part of the mission statement answers the following question:
  - What are the basic values the organization's members hold in common and endeavor to put into practice?
- ⇒ For example, "we believe in the provision of decent, safe and sanitary housing for all tribal members".
- A purpose statement:
  - ⇒ The purpose statement answers the question of why the organization exists and what is the ultimate result of the organization's work. What is the need or problem the organization is trying to address?
  - ⇒ This part of the mission statement usually includes two phrases:
    - One indicates a change in status, such as to increase, decrease, prevent or eliminate;
    - The second phrase is an identification of the problem or condition to be changed. For example, "to prevent and eliminate (change) homelessness (problem/condition)."
- A business statement:
  - ⇒ The business statement answers the question of what are the main methods or activities the organization plans in order to pursue its purpose.
  - ⇒ This element may include who the population or beneficiaries of the organization's work will be and, if applicable, the geographic parameters that define the organization's service area.
  - ⇒ Business statements often include the verb "provide" (For example, "to provide job training to homeless individuals of the tribe"), or link the purpose statement (above) with the words "by" or "through" (for example, "to eliminate homelessness by constructing new housing units for homeless persons and families").

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## **NOTES**

## **Chapter 4: Writing the Five Year Plan**

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- ☐ The next step is to put all the essential elements together and to reach consensus about the proposed mission statement.
  - The three essential components do not have to go into the mission statement in any particular order, but each should be incorporated.
  - Some organizations have a mission statement that includes all three elements in one sentence.
    - ⇒ Example: “The XYZ tribe, striving to provide decent, safe and sanitary housing for our tribal members (values), seeks to eradicate substandard housing, eliminate homelessness, and increase affordable rental housing and homeownership opportunities (purpose) through the provision of supportive services and financial assistance programs (business).”
  - Others use two or three statements to describe each of the three essential elements.
    - ⇒ Example: “At the XYZ tribal housing entity, we provide essential supportive services and financial assistance programs (business) for the acquisition, rehabilitation and construction of housing and service programs for persons in need (purpose). While providing decent, safe and affordable housing, we strive to improve and better the living conditions of all tribal members (values).”
- ☐ The primary importance of a mission statement is to clearly state and communicate an organization’s purpose and to serve as a reminder and guide to those making decisions about projects to undertake.
- ☐ A good mission statement is one that:
  - Is concise. One or two sentences is typically sufficient for an effective mission statement.
  - Is clear and understandable. A mission statement should present simple, clear ideas that are easy for everyone to understand.
  - Is inspiring. It should be a unifying point for organizational activities and motivate everyone to new ideas and future actions.

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## **NOTES**

## Chapter 4: Writing the Five Year Plan

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- Reflects attainable goals. An effective mission statement should focus on the change that the organization would like to see occur in the form of realistic goals that are achievable within the defined period of time.
  - Reflects the values of the organization. A good mission statement reflects the values, beliefs, and philosophy of an organization and its culture. In addition, it should form a bridge between past, present, and future.
  - Serves as a decision-making tool. A mission statement should serve as a template against which future decisions can be easily measured (see the figure box on the previous page).
  - Achieves a balance between broad and specific. A mission statement should be broad enough to allow flexibility in implementation (that is, not so narrow that possibilities are dismissed), but not so broad as to permit a lack of focus.
- ☐ There is no “right” formula for finding the wording that best expresses the values, purpose and business of an organization.
- ☐ Mission statements can be developed through a collaborative group process or by one person.
- Typically, a small group is used to “hash out” an organization’s mission statement.
  - The group uses debate and discussion to generate a set of commonly held ideas that can be used to formulate the mission statement.
  - Often, a neutral, third-party facilitator is used to guide a group through the process of developing a mission statement.
  - Attachment 4-1 is a sample agenda for a mission statement facilitation session.



### Mission Statement Test

To test the value of a mission statement, take an activity (such as providing rental assistance) and tell whether the activity would be consistent with the mission statement. If it is uncertain as to how the activity fits with the mission statement, the mission statement may need to be re-worked to be more useful for making decisions on a day-to-day basis.

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## NOTES

## **Chapter 4: Writing the Five Year Plan**

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- ☐ While group discussions are good for big ideas and concepts, groups are not very good at actually writing the mission statement.
  - Often, the task of writing the mission statement is handed to one or two individuals.
  - The draft mission statement is usually resubmitted to the group, and reworked until it is agreed upon.
- ☐ Some organizations also seek an outside opinion from someone unfamiliar with the organization to see how easily the mission statement can be understood.
- ☐ Remember that the most important issue is consensus. The mission statement is a critical and overarching part of the housing plan and should be supported by everyone.

### **GOALS AND OBJECTIVES**

- ☐ Recipients are required in the IHP to state the goals and objectives that will enable it to serve the needs identified in the Mission Statement.
- ☐ First, tribes should understand what the terms “goal” and “objective” really mean.
  - What is a goal?
    - ⇒ A goal is what the tribe wants the outcome to be.
    - ⇒ A goal is a measure that is used to guide and motivate an organization toward achieving its mission.
    - ⇒ Goals provide direction and guidance for developing objectives and actions.
    - ⇒ Example: “Our first goal is to purchase, rehabilitate, market, and sell existing substandard, vacant houses to create homeownership opportunities for tribal families.”

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### **NOTES**

## Chapter 4: Writing the Five Year Plan

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- In order to be effective, goals should meet the following criteria:

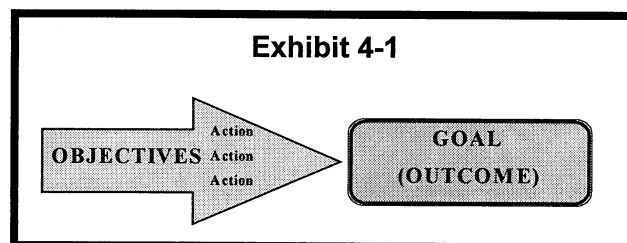
- ⇒ A goal should be complementary to an organization's mission statement.
- ⇒ A goal should be set for each critical issue or problem area.
- ⇒ Goals should allow you to track progress against the mission statement.



### Goals and Objectives -- What's the Difference?

Goals and objectives are definitely linked together. However, it is very important to know the difference between the two. A *goal* is what you want the *outcome* to be. An *objective* is the *action* (or actions) that will help you to get to that outcome. See Exhibit 4-1.

- What is an objective?
  - ⇒ An objective is a step or activity undertaken to implement a goal within a specified period of time.
  - ⇒ Objectives also track progress towards achieving a goal.
  - ⇒ Example: "To achieve this goal (see the example above), we will establish a revolving loan fund program in 2001 to provide low-interest loans to homebuyers."
- To be effective, objectives should have the following characteristics:
  - ⇒ Objectives should state what is to be accomplished, by whom and in what timeframe.
  - ⇒ Objectives should be realistic with respect to capacity and resources as well as the environment in which the activities will be undertaken.



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## NOTES



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- ☐ Recipients must also understand the difference between five-year versus one-year goals and objectives.
- ☐ In the Five Year Plan, the goals and objectives must cover the five-year period covered by the IHP.
- ☐ To set forth five-year goals and objectives, the recipient will have to look at long-term solutions for addressing needs.
  - This can be more difficult than for one-year goals and objectives because the amount of resources available for the five-year period of time is not a known factor and housing conditions and needs may change somewhat from year to year.
  - On the other hand, it allows the recipient an opportunity to look further down the road to more comprehensive ways to meet needs, as opposed to only planning for the upcoming year.
- ☐ Five-year goals and objectives will be less specific than one-year goals and objectives. This means that tribes do not need to include numbers or percentages in the five-year goals and objectives.
- ☐ However, keep in mind that the one-year goals and objectives (for the One Year Plan portion of the IHP) will need to be consistent with the five-year goals and objectives.
  - In other words, the one-year goals and objectives will be a subset of the five-year goals and objectives. For example, if the five-year goal and objective is “to reduce the number of low-income families living in overcrowded conditions”, the one-year goal might be “to reduce the number of overcrowded families by providing rental housing assistance with NAHASDA funding to 10 eligible families by October 1, 2002”.
  - This does not mean a goal or objective should not be included because it cannot be addressed during the coming year. It can be addressed in one or more of the following four years. Using the same example above, the recipient may determine that it has other needs that are of a higher priority and it will start providing rental assistance to



### Five Year Goals and Objectives

Remember! In the Five Year Plan, the goals and objectives will cover a fixed five-year period beginning with the fiscal year for which the plan is submitted. Goals and objectives in the Five Year Plan do not have to be specific, but should link together and be strategic and consistent with the mission statement.

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## NOTES

## ***Chapter 4: Writing the Five Year Plan***

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reduce overcrowding during the second year of the Five Year Plan. Therefore, a one-year goal and objective that matches this five-year goal and objective is not included in the One Year Plan.

❑ For clarity of presentation, goals and objectives should be grouped in some manner.

- For example, group by categories of people (such as renters, owners, homeless persons, etc.).
- Or, group by type of activity (such as rehabilitation, new construction, etc.).
- Example:

<p style="text-align: center;"><b>Housing Rehabilitation and Energy Efficiency</b></p> <p><u>Goal:</u> To reduce the number of substandard housing units occupied by low-income Indian families.</p> <p><u>Objectives:</u></p> <ol style="list-style-type: none"><li>1. Invest \$1,000,000 in NAHASDA funds in a revolving loan fund which will make no-interest loans to eligible families for rehabilitation.</li><li>2. Develop, publish, and distribute a pamphlet on home maintenance and simple home repair to all owner-occupied housing units on the reservation.</li></ol> <p><u>Goal:</u> To improve the energy efficiency of homes in order to lower utility costs for low-income owners and renters.</p> <p><u>Objectives:</u></p> <ol style="list-style-type: none"><li>1. Provide grants of up to \$5,000 each to eligible families for energy efficiency improvements this year.</li><li>2. Develop, print, and distribute a brochure to all residents listing inexpensive energy efficiency improvements and describing how to make such improvements.</li></ol>
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- Other ways to present goals and objectives are provided as Attachments 4-2 and 4-3 to this chapter.

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## ***NOTES***

## **ACTIVITIES PLAN**

- ☐ The Activities Plan provides an overview of all activities planned during the five-year planning period including an analysis of the manner in which the activities will enable the tribe to meet its mission and goals and objectives.
- ☐ Recipients should think of the Activities Plan as a sort of housing workplan that will guide the tribe on a daily basis in determining specific tasks to carry out in support of the plan.
  - Each activity itself provides the specifics of who, what, where, and/or when in order to meet the plan's goals and objectives.
  - Each activity should directly tie back to a goal and objective as well as the mission statement. (See Attachments 4-2 and 4-3 at the end of this chapter.)
  - In addition, the description of each activity should be clear enough to show how the activity will help to achieve the stated objectives, goals, and mission statement.
- ☐ Building on the example on the previous page, below is just one way that this might work:

<b>Housing Rehabilitation and Energy Efficiency</b>			
<u>Goal:</u> To reduce the number of substandard housing units occupied by low-income Indian families.			
<u>Objective 1:</u> Invest \$100,000 in new block grant funds in a revolving loan fund for no-interest loans to eligible families for rehabilitation.			
<u>Activities:</u>			
<u>Who</u>	<u>What</u>	<u>When</u>	<u>Where</u>
Recipient (staff)	Develop policies and procedures for the revolving loan fund program.	By 1/1/00	N/A
Tribe or TDHE (board)	Approve policies and procedures and allocation of block grant funds to the revolving fund program.	By 3/1/00	N/A
Tribe or TDHE (staff)	Notify residents of the program and begin taking applications.	By 4/1/00	Reservation-wide

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## **NOTES**

## **LIST OF ATTACHMENTS**

Attachment 4-1: Sample Agenda for a Mission Statement Facilitation

Attachment 4-2: Sample Outline for Goals/Objectives/Activities Discussion

Attachment 4-3: Sample Format for Goals/Objectives/Activities Presentation

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## **NOTES**



**Attachment 4-1: Sample Agenda for a  
Mission Statement Facilitation**



## ATTACHMENT 4-1

### SAMPLE AGENDA FOR A MISSION STATEMENT FACILITATION

- ☐ **Introduction and overview** (tribal leader or executive director; 10-15 minutes)
  - Purpose of the session
  - Participant introductions
- ☐ **What a mission statement is** (facilitator; 10-15 minutes)
- ☐ **Brainstorming the mission statement components** (by facilitator with group participation)
  - Values (30 minutes)
    - ⇒ What are our basic, common values and principles?
  - Purpose/vision (30 minutes)
    - ⇒ Why does our organization exist?
    - ⇒ What is the problem(s) being addressed?
  - Business (30 minutes)
    - ⇒ What activities will be pursued to achieve our purpose?
- ☐ **Formulating the mission statement/putting all the elements together** (by facilitator; one hour)
  - Take ideas and put together into mission statement
  - Assess mission statement effectiveness
- ☐ **Next steps** (tribal leader or executive director; 15 minutes)
- ☐ **Adjourn**





## **Attachment 4-2: Sample Outline for Goals/Objectives/Activities Discussion**



**ATTACHMENT 4-2**  
**SAMPLE OUTLINE FOR GOALS/OBJECTIVES/  
ACTIVITIES DISCUSSION**

Priority #\_\_ : (List the priority here.)

Analysis: (Narrative analysis goes here. Briefly describe why this is a priority using data, qualitative information, etc. and discuss how the goals, objectives and activities will address priority need.)

Goal #\_\_ : (List a goal here.)

Objective #\_\_ : (List an objective here.)

Activity #\_\_ : (List an activity here.)

Description (what, where, etc.)

Program/resources to be used

Who is responsible

Timeframe/deadline

Activity #\_\_ :

Description

Program/resources to be used

Who is responsible

Timeframe/deadline

Objective #\_\_ :

Activity #\_\_ :

Description

Program/resources to be used

Who is responsible

Timeframe/deadline

*(REPEAT AS NEEDED FOR REST OF PRIORITIES)*



**Attachment 4-3: Sample Format for  
Goals/Objectives/Activities Presentation**



ATTACHMENT 4-3

SAMPLE FORMAT FOR GOALS/OBJECTIVES/ACTIVITIES PRESENTATION

Priority # \_\_:

**Analysis:** (Narrative analysis goes here. Briefly describe why this is a priority using data, qualitative information, etc. and discuss how the goals, objectives and activities will address priority need.)

**Goals:** (List goals here.)

Objective # \_\_: (List objective)

Activities

Description	Programs/Resources	Party Responsible	Timeframe/Deadline

(REPEAT AS NEEDED FOR REST OF PRIORITIES)








# CHAPTER 5: WRITING THE ONE YEAR PLAN

This chapter covers the following topics as part of writing a One Year Plan:

- ☐ Developing goals and objectives that describe how annual funding relates to accomplishments.
- ☐ How to describe current housing conditions and needs.
- ☐ Describing financial and affordable housing resources.
- ☐ Establishing performance objectives that describe accomplishments in the next year.
- ☐ Completing other submission requirements, including certifications and environmental review.

## OVERVIEW AND PURPOSE

- ☐ The One Year Plan is the annual component of the Indian Housing Plan (IHP).
- ☐ The purpose of the One Year Plan is to:
  - Describe the specific activities that the recipient will undertake with the NAHASDA and other funding that will become available during the upcoming program year;
  - Guide the project selection decisions by the recipient;
  - Indicate how the recipient will allocate resources over the coming year; and

 **IHP in the Statute and Regulations**  
In the NAHASDA Statute, refer to Section 102c. Under the NAHASDA Regulations, refer to Subpart C.

## COMPONENTS OF THE ONE YEAR PLAN

- ☐ The One Year Plan encompasses seven major sections, and includes three data tables. The seven sections and three tables of the One Year Plan are:
  - Goals and Objectives.
  - Statement of Needs (narrative and table).

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## NOTES

## Chapter 5: Writing the One Year Plan

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- Financial Resources (narrative and table).
  - Housing Profile Table.
  - Affordable Housing Resources.
  - Performance Objectives.
  - Other Submission Items.
  - Certifications.
- ☐ This chapter explains the requirements of each section, and provides guidance in completing the data tables.

### GOALS AND OBJECTIVES

- ☐ The Goals and Objectives section of the One Year Plan describes how the recipient will implement its long-term mission with IHBG and other funds (that will be used for affordable housing activities) that will be received during the upcoming program year. It sets an overall agenda for the use of annual funding awards.



#### Remember!

A “one year” goal refers to one year’s allocation of funds, not how long it may take to achieve a goal or spend funds. In other words, goals track the grant not a period of time. Remember that it may take more or less than one year to actually spend the funds and accomplish the goal.

- ☐ Each year, a recipient prepares a new One Year Plan in order to receive funding. Thus, a new set of goals and objectives must be developed to describe how the funds received for that particular year will fulfill the recipient’s mission.
- When funds from more than one year will be used for a long-term project, such as a large housing development, the recipient may repeat some goals from year to year.
- ☐ A one year goal is a statement of what the recipient plans to accomplish with its annual IHBG and any other funds to become available during the program year.
- All one year goals should correlate with the broad, long-term goals previously identified in the Five Year Plan (see Chapter 4).

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### NOTES

## Chapter 5: Writing the One Year Plan

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⇒ Example: A recipient's mission is to raise the quality of the local housing stock. Using \$400,000 in fiscal year 1999 IHBG grant funding, the recipient will provide housing rehabilitation services to 100 low-income tribal members.

- One year goals must be measurable, as determined by the recipient.

□ A one year objective is a description of the methods for achieving a goal. In other words, objectives are action steps to achieve a stated goal.

- Objectives are tied to specific goals and, in most cases, at least one objective will be listed for each goal.
- The one year objectives are the specific actions that will be funded with one year's worth of resources. However, achieving these objectives may take more or less than one year.
- Objectives in the One Year Plan must also be measurable.

□ Objectives may be stated in a number of ways, such as:

- Programs to be designed and/or implemented.

⇒ Example: "The recipient will ensure that all tribal members with substance abuse problems will have access to appropriate affordable housing. To accomplish this, the recipient will consult with area substance abuse counseling agencies and jointly develop a housing referral program by June 30, 2001."

- Housing units to be developed rehabilitated or acquired.

⇒ Example: "The recipient will ensure that all tribal members with substance abuse problems have access to appropriate affordable housing. To address this goal, the recipient will use \$50,000 in Fiscal Year 2001 NAHASDA funds to acquire and rehabilitate a vacant property as transitional housing for persons with substance abuse problems."



### Matching Goals and Objectives

Some goals may have more than one objective. For example: "The Westwind tribe will promote homeownership by helping at least 20 families to become first-time homeowners. To accomplish this, the Westwind tribe will establish a downpayment assistance program. In addition, Westwind tribe will offer homebuyer counseling."

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## NOTES

## Chapter 5: Writing the One Year Plan

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- Services or assistance to be offered.
  - ⇒ Example: “The recipient will ensure that tribal members with substance abuse problems have access to appropriate affordable housing. By July 1, 2000, the recipient will develop a substance abuse outreach program in its existing rental housing complex to help affected residents become drug free and learn basic life skills such as budgeting and parenting techniques.”
- ❑ As many goals and objectives should be included in the One Year Plan as needed to describe the recipient’s mission, and how the recipient will use NAHASDA and other funds to implement its mission.
  - If the recipient’s mission is broad, and it anticipates undertaking many different types of programs, there may be many different goals and objectives in the One Year Plan.
  - If the recipient’s mission is relatively simple, or the recipient will only undertake one or two programs, there may be only a few goals and objectives.
- ❑ The *actual* one year goals and objectives chosen by the recipient will depend upon its five year goals, resources available, and its priorities for the program year ahead.
  - The one year goals and objectives must be linked with the overall goals and objectives in the recipient’s Five Year Plan.
    - ⇒ For example, a recipient’s five year goal is “to increase the rate of homeownership by 20% through financial assistance, counseling, and turnkey new construction.” The one year goal and objective(s) might read: “The recipient will help approximately 20 families purchase homes with Fiscal Year 2000 funding by offers low-interest loans to qualified buyers.”
- ❑ The recipient should also consider which five year goals can and should be addressed with the coming year’s resources. It may be better to wait and use future funding to achieve some five year goals. However, the recipient must demonstrate progress on all Five Year Plan goals and objectives during the relevant five-year period.
  - The following factors should be considered in deciding which five year goals to address with which year’s funding:

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## NOTES

## Chapter 5: Writing the One Year Plan

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- ⇒ The feasibility of undertaking or beginning the five year goal/objective today;
- ⇒ The cost of undertaking (or waiting to undertake) the five-year goal;
- ⇒ The severity of the need addressed by the five year goal/objective;
- ⇒ Staff capacity to undertake or begin the five year goal/objective in the coming year;
- ⇒ The relationship of the five year goal/objective to existing programs and housing.



### Aligning Five Year and One Year Goals and Objectives

DO NOT state a goal in the One Year Plan that is outside of the scope of the recipient/ TDHE's five year program design.

- ☐ Whatever one year goals and objectives the recipient adopts, they must be measurable, as defined by the recipient, and allow the recipient and HUD to assess progress.
  - Measurable goals and objectives are specific results that the recipient will achieve:
    - ⇒ "The recipient will help tribal members qualify for home mortgages. We will accomplish this by providing credit counseling to homebuyers, and by forming a partnership with an area lender."
- ☐ One year goals and objectives must also be consistent with the activities the recipient describes later in Table 2: Financial Resources, where the recipient allocates funds for NAHASDA activities.

## STATEMENT OF NEEDS

- ☐ In this section of the One Year Plan, the recipient must describe:
  - The needs of low-income Indian families residing within the jurisdiction of the recipient, and outside the jurisdiction when tribal needs require their consideration.
  - The needs of all Indian families.
  - How housing needs will be addressed.

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## NOTES

## ***Chapter 5: Writing the One Year Plan***

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- Whether the recipient will serve non-Indian families.
    - ⇒ The NAHASDA statute permits recipients to serve non-Indian families under certain circumstances. Non-Indian families on an Indian reservation or other Indian area may be served if the recipient determines that this family's presence is essential to the well-being of Indian families and this need cannot be otherwise met.
  - How assistance will be distributed geographically (i.e., over what area), and how this geographic distribution meets housing needs.
- ☐ Exhibit 5-1 lists some of the pros and cons of various service area options.

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## ***NOTES***



## Chapter 5: Writing the One Year Plan

### Exhibit 5-1

#### Pros and Cons of Service Area Options

SERVICE OPTION	PROS	CONS
Serve every Indian family within the jurisdiction	<ul style="list-style-type: none"><li><input type="checkbox"/> Relatively easy to define the program's service area</li><li><input type="checkbox"/> Relatively easy to determine the number of potential program participants</li><li><input type="checkbox"/> Helps with issues regarding inter-tribal married couples</li></ul>	<ul style="list-style-type: none"><li><input type="checkbox"/> May cut-off some possible innovative programs such as housing assistance while a tribal member is away at school</li><li><input type="checkbox"/> Depending upon the number of families living within the jurisdiction of the tribe, may only offer assistance to a small portion of the tribe's overall membership</li></ul>
Serve all tribal members regardless of location	<ul style="list-style-type: none"><li><input type="checkbox"/> Based on BIA data, may be relatively easy to determine number of potential program participants</li><li><input type="checkbox"/> Permits the recipient to develop a full range of innovative programs that address a wide range of needs, not just those issues found locally</li><li><input type="checkbox"/> Allows the recipient to serve its entire membership not just those who live nearby</li></ul>	<ul style="list-style-type: none"><li><input type="checkbox"/> May have some program design difficulty regarding inter-tribal married couples and their children</li><li><input type="checkbox"/> Depending upon the location of the tribe, may mean that a significant portion of the local housing needs goes unmet</li><li><input type="checkbox"/> Very difficult to anticipate, map and track the geographic location of projects</li></ul>
Both	<ul style="list-style-type: none"><li><input type="checkbox"/> Allows for locally based programs as well as programs that address other types of needs</li><li><input type="checkbox"/> Permits the recipient to work with a broad range of families</li><li><input type="checkbox"/> Offers a great deal of flexibility</li></ul>	<ul style="list-style-type: none"><li><input type="checkbox"/> Resources are limited and this option means that they are stretched even further</li><li><input type="checkbox"/> Establishing program eligibility criteria may be tricky and cumbersome</li><li><input type="checkbox"/> Can be very difficult to anticipate, map, and track geographic location of projects</li></ul>

## NOTES

### ***Completing Table 1 - Statement of Needs***

- ☐ The purpose of Table 1 is to describe the demographics of the Indian area, profile other characteristics of the tribe (optional), and provide a snapshot of the housing inventory and the unmet housing needs of tribal members. Recipients should also insert a description of data sources.
- ☐ Table 1 requires two major types of data:
  - Demographic information such as total population of the Indian area, and the number of elderly families.
  - Housing data such as the number of rental units, and the number of substandard homeowner units.
- ☐ Depending upon the type of data needed, a recipient can use a number of methods to collect this data. Refer to Chapter 3 for more guidance on data collection and analysis.
- ☐ Table 1 consists of four (4) parts. These parts are described below.
  - Part I: Tribal Profile for Indian Area
    - ⇒ Part I is required. Here, the recipient describes the number of persons and families in different demographic classifications who have specific housing needs.
  - Part II: Tribal Profile for Indian Area (optional)
    - ⇒ Part II is optional. It allows recipients the opportunity to report any demographic information they believe is important to describing their housing needs.
  - Part III: Current Status and Future Needs
    - ⇒ Part III is required. It gives a snapshot of the number of different housing unit types available to certain groups, and the unmet need for additional housing units.
  - Part IV: Other Current Status and Future Needs (optional)

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## ***NOTES***

## ***Chapter 5: Writing the One Year Plan***

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- ⇒ Part IV is optional. In this Part, the recipient reports any other housing unit data it believes is important to describing their housing needs.

### **Part I: Tribal Profile for Indian Area**

#### ☐ Total Indian Population

- Total Indian population is defined as all Indians within the Indian area. An Indian is anyone considered a member of an Indian tribe.
- This information will help the recipient to estimate the number of people in the tribe, and track trends in population growth or decline.
- Insert this number in row 1, column b. No information is required in row 1, column c.

#### ☐ Number of Indian Families

- This category includes all Indian families within the Indian area. It is the responsibility of each recipient to define the term “family.”
  - ⇒ A family can be defined as a group of people related through ancestry or marriage, living in the same house. Families may include:
    - A family with or without children,
    - An elderly family,
    - A near-elderly family,
    - A disabled family, or
    - A single person.
- This data will give the recipient a clear picture of how many families the recipient live in the area, and help estimate the extent of housing and other service need in the community.

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## **NOTES**

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- Unlike the previous category, the recipient must distinguish between the number of families at all income levels (column b), and families who are low-income (column c).
- Insert the number of families of all income levels in row 2, column b.
- Insert the number of low-income families in row 2, column c.



### Note!

The numbers in column "c" are a subset of column "b". Therefore, column c should never be greater than column b.

### ☐ Number of Elderly Indian Families

- An elderly family is defined as a family whose head (or his/her spouse), or whose sole member, is an elderly person. An elderly person is anyone who is at least 62 years of age.
- The number of elderly families can be used to estimate the demand for elder services, and shows the number of families that may need units specially designed for elderly persons.
- Insert the number of elderly Indian families of all income levels in row 3, column b.
- Insert the number of elderly low-income Indian families in row 3, column c.

### ☐ Number of Near-Elderly Indian Families (optional)

- A near-elderly family is defined as a family whose head (or his/her spouse), or whose sole member, is near elderly.
  - ⇒ A near-elderly person is anyone that is at least 55 years of age, and less than 62 years of age.
- The recipient can use this data to plan for the future needs of those families that may soon require housing with special features elderly persons, or in targeting housing assistance to those in need.
- If the recipient wishes to insert this information, it should:

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- ⇒ Insert the number of near-elderly Indian families of all income levels in row 4, column b.
- ⇒ Insert the number of near-elderly low-income Indian families in row 4, column c.

### **□ Number of Indian Families Living In Substandard Housing**

- Recipients may develop their own definition of substandard housing, or, may adopt the following definition:
  - ⇒ Substandard housing is a housing unit that is dilapidated, has been declared unfit for habitation by an agency or unit of government, or is without one or more of the following:
    - Operable indoor plumbing.
    - An indoor flushable toilet for the exclusive use of the family.
    - A usable bath or shower for the exclusive use of the family.
    - Electricity.
    - Electrical service that is safe and adequate.
    - A safe or adequate source of heat.
    - A kitchen.
- Collecting and analyzing this information will enable the recipient to assess:
  - ⇒ Physical condition of the tribal housing stock.
  - ⇒ Need for a rehabilitation program for the recipient's community.
  - ⇒ Need to relocate those families whose homes cannot be rehabilitated.

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- Insert the number of Indian families of all income levels living in substandard housing in row 5, column b.
- Insert the number of low-income Indian families living in substandard housing in row 5, column c.

### ☐ Number of Indian Families Living in Overcrowded Conditions

- Recipients may develop their own definition of overcrowding, or the following general definition may be adopted:

⇒ Overcrowded conditions are defined as housing units with more than 1.01 persons per room.



#### Counting Overcrowded Families

The number of overcrowded families is equal to the number of overcrowded units in the recipient's area. Do not count the individual families in each unit.

- Overcrowding occurs when there is a mismatch between the size of a family and the size of the unit they occupy. This mismatch may be due to:
  - ⇒ an insufficient number of larger units for large families; or
  - ⇒ a lack of housing units of all sizes that have affordable rents or prices.
- Insert the number of Indian families of all income levels living in overcrowded conditions in row 6, column b.
- Insert the number of low-income Indian families living in overcrowded conditions in row 6, column c.

### **Part II: Tribal Profile for Indian Area**

This optional section may help the recipient to show other significant groups with housing needs, or, show other data relevant to housing need. Note that if the recipient elect to use this section of the plan, the recipient must define whatever categories of families are included. This section may also be used to report the needs of non-Indians to be served. The following categories are examples of the types of groups or other characteristics the recipient may wish to report.

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### **☐ Persons with Disabilities**

- A disabled person is a person:
  - ⇒ With a disability as defined in Section 223 of the Social Security Act.
  - ⇒ With a developmental disability as defined in Section 102 of the Developmental Disabilities Assistance and Bill of Rights Act.
  - ⇒ Persons who have the disease of AIDS or any condition related to the Human Immunodeficiency Virus (HIV).
  - ⇒ Who has a physical, mental or emotional impairment that:
    - Is expected to be of long-continued and indefinite duration.
    - Substantially impedes his or her ability to live independently.
    - Is of such a nature that the disability could be improved by more suitable housing conditions.
- For purposes of this definition, the term “physical, mental or emotional impairment” includes, but is not limited to:
  - ⇒ Any physiological disorder or condition, cosmetic disfigurement, or anatomical loss affecting one or more of the following body systems: neurological, musculoskeletal, special sense organs, respiratory, including speech organs; cardiovascular; reproductive; digestive; genito-urinary; hemic and lymphatic, skin; and endocrine.
  - ⇒ Any mental or psychological condition, such as mental retardation, organic brain syndrome, emotional or mental illness, and specific learning disabilities.
- An individual cannot be considered a person with disabilities based solely on any drug or alcohol dependence for purposes of eligibility for housing assisted under NAHASDA.
- This information is an indicator of the number of households that may not be able to afford housing due to limited income or restricted housing choices.

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- This data can also be used in estimating the number of housing units that may require special accessibility features or services.
- ☐ Number of Single Heads of Household
  - Again, the recipient could use this information to help determine the proper size of units needed.
    - ⇒ Most single heads of households require at least two bedrooms in their housing unit; knowing the total number of single parents will give the recipient an idea of the number of two bedroom units it will need.
  - The recipient can use this data to budget for other types of services needed, such as childcare.
- ☐ Youth At Risk for Alcohol and Drug Abuse, Battered Spouses
  - This type of data is relevant for the recipient's housing plan because special needs populations often require housing assistance or service-enriched housing.
  - Data on the extent of social problems can indicate the amount of money that should be allocated to different housing-related services.
    - ⇒ For example, if there is a high incidence of drug abuse, but few cases of theft, the recipient may want to target drug addiction instead of theft-prevention programs.
- ☐ Average Family Size
  - Average family size can be a useful indicator of the demand for smaller or larger units over time.
    - ⇒ This data also allows the recipient to plan for the construction of units that are of appropriate size.
    - ⇒ In addition, this data can also be used when planning community-related services.
- ☐ Average Age of Household Head

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- This data can help the recipient to determine the need for different unit sizes and amenities in the community's housing stock.
  - ⇒ For example, if the average age of household head is 60, then soon more units may need special accessibility features such as wheelchair ramps.
- These data can also be used when trying to estimate the potential for family growth.
  - ⇒ For example, a large proportion of households headed by persons under 30 years of age would indicate that the demand for larger units will probably increase in the near future, as some of these families add children.

### ☐ **Median Income by Family Size**

- The recipient must define median income limits as the greater of:
  - ⇒ the median income for the recipient's area (determined by HUD) OR
  - ⇒ the median income for the United States.
- An area's median income provides a summary measure of the community's economic well-being relative to its surrounding area and the nation as a whole.
- In addition, this data can aid in analyzing the affordability of housing as well as the potential risk of homelessness in the recipient's service area.

### ☐ **Average Education Levels**

- Average education level is also an indicator of future income growth for the community.
- This information could be helpful for developing appropriate printed materials for members of the community.

## **Part III: Current Status and Future Needs**

- ☐ Part III requires the recipient to report information on both the current stock and the future need for six different types of housing, described below.

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- ☐ Each type of housing category is mutually exclusive. For instance, although college housing is likely to be rental housing, the recipient only reports it on the line for college housing units. The recipient should not count a college housing unit as both a rental housing unit and a college housing unit.
- ☐ The recipient's narrative statement that accompanies Table I must correspond the categories shown in each column of the table.

- Type of Housing (column a).
- Existing housing (column b).
- Unmet need for all Indian families (column c).
- Unmet needs for low-income Indian families (column d).

 <b>Note!</b> The numbers in column "d" are a subset of column "c". Therefore, column d should <u>never</u> be greater than column c.
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- ☐ The phrase "unmet need" is not defined or prescribed by HUD. Recipients may define this term as they deem appropriate, such as:
  - Those families without any housing.
  - Those families who live in substandard housing or who pay too much for rent.
- ☐ Rental Housing
  - Units are considered "rental" if they are occupied by a family or person that does not own the unit. Rental units include:
    - ⇒ Those owned by the recipient, and
    - ⇒ Those under private ownership (owned by one person or a for-profit or nonprofit corporation).
    - ⇒ Those rental units developed under the 1937 Housing Act.

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- Rental units do not include supportive housing, college housing, transitional housing, or homeless housing as these are covered later. Also, Turnkey III or Mutual Help units are not included.
- This data will enable the recipient to gauge the total number of existing rental housing units. The recipient can then compare this number to the number of renter families to indicate the “need” for additional rental housing development.
  - ⇒ Insert the number of existing rental housing units in row 8a, column b.
  - ⇒ Insert the number of all Indian families with unmet need for rental housing in column c.
  - ⇒ Insert the number of low-income Indian families with unmet need for rental housing in column d.
- Housing needs among low-income Indian families should be described both quantitatively and qualitatively.



### Units in Need of Rehabilitation

For line 8b and line 9b, recipients must describe how many rental and homeowner units are in need of rehabilitation, respectively. These are defined as units that fail to meet the recipient housing quality standards (HQS).

### ☐ Homeowner Housing

- Homeowner units are those occupied by a person or family that holds title to the unit. The homeownership rate is the percentage of all non-vacant units that are owner-occupied.
  - ⇒ The homeowner units should include all units developed under the Turnkey III and Mutual Help programs, as well as privately owned units.
- The number of homeowner units, as a percentage of the total occupied housing stock, is one indicator of stability of a neighborhood or area.
- Ownership rates may also serve as an indicator of affordability within the housing stock. If there is a low ownership rate, but the same renters have lived in an area for a long time, it is likely that homeownership is not affordable.

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- Analyzing the reasons behind low homeownership rates can help the recipient identify appropriate and effective housing programs.
- Insert the number of existing homeowner housing units in row 9a, column b.
- Insert the number of all Indian families with unmet need for homeowner housing in row 9a, column c.
- Insert the number of low-income Indian families with unmet need for homeowner housing in row 9a, column d.

### **☐ Supportive Service Housing**

- Recipients may develop their own definition of supportive housing, or, may adopt the following definition:
  - ⇒ Supportive service housing is housing, including both housing units and group quarters, that is available only in conjunction with a planned supportive service component designed to help the residents live independently. Examples include:
    - Group home for developmentally disabled adults with a live-in caregiver;
    - Townhouse units for people with chronic mental illness in conjunction with a program of individual home visitations and group recreation; or
    - Adaptive houses for physically challenged adults with a program that provides transportation partners.
- The recipient can use this data to determine the extent of unmet need for supportive housing.
- Insert the number of existing supportive service housing units in row 10a, column b.
- Insert the number of all Indian families with unmet need for supportive service housing in row 10a, column c.
- Insert the number of low-income Indian families with unmet need for supportive service housing in row 10a, column d.

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### ☐ College Housing Units

- Recipients may create their own definition or may use the following definition:
  - ⇒ College housing is primarily used by students attending post high school educational facilities.
- Insert the number of existing college housing units in row 11a, column b.
- Insert the number of all Indian families with unmet need for college housing in row 11a, column c.
- Insert the number of low-income Indian families with unmet need for college housing in row 11a, column d.
- The recipient can use these data to determine the number of units that are needed to meet the needs of students of local colleges and universities.



#### Student Housing Plan

Colleges in the recipient's area may have a student housing plan. The recipient may be able to use the school's plan as a base for assessing the need for college housing and any costs that may be associated with development.

### ☐ Transitional Housing Units

- A recipient may develop its own definition or use the definition that follows. Transitional housing is temporary housing available to people for up to 24 months as they transition from homelessness to permanent housing. Examples of transitional housing include:
  - ⇒ A home for women coming out of hospitals and continuing to recover from drug addiction or substance abuse;
  - ⇒ A home for men being released from correctional institutions;
  - ⇒ Apartment units for low-income mothers and their children coming out of shelters and participating in self-sufficiency programs.
- The recipient should gather available information about which groups need transitional housing.
  - ⇒ Which populations have the greatest unmet needs?

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⇒ How many people are there in each of the populations the recipient identifies?

⇒ How many units exist to serve the needs of specific populations?

- Insert the number of existing transitional housing units in row 12a, column b.
- Insert the number of all Indian families with unmet need for transitional housing in row 12a, column c.
- Insert the number of low-income Indian families with unmet need for transitional housing in row 12a, column d.

### ☐ **Homeless Housing Units**

- This information will allow the recipient to identify the magnitude of the recipient's homelessness problem, and identify gaps between what is needed and what is available.
- This information will aid in preparing a budget to determine how much funding should go to support homeless housing.
- A recipient may use the following definition or develop its own definition. Homeless housing is any facility providing temporary or transitional shelter for the homeless in general, or for specific populations of the homeless.
- Insert the number of existing homeless housing units in row 13a, column b.
- Insert the number of all Indian families with unmet need for homeless housing in row 13a, column c.
- Insert the number of low-income Indian families with unmet need for homeless housing in row 13a, column d.

### **Part IV: Other Current Status and Future Needs – Optional**

- ☐ Recipients may elect to include additional information about needed housing units in Part IV of Table 1. The recipient must define any new category of housing it adds to the table.

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☐ Other types of housing needs that recipients may want to describe include:

- Elderly housing.
- Housing for disabled persons.
- Housing for persons with substance abuse problems.
- Housing for at-risk youth.

### **FINANCIAL RESOURCES**

☐ In this section of the One Year Plan, the recipient must describe both the funds that are available to help address housing needs and the allocation of NAHASDA resources. The Financial Resources section includes both a narrative discussion and completion of a table.

☐ This section should begin with a description of the various financial resources that will be available to help undertake NAHASDA eligible activities during the upcoming program year.

- This should cover only planned amounts, those resources that will be “reasonably available” to the recipient.
  - ⇒ The recipient must define the term “reasonably available” in the context of its area, organization and likely funding sources. Funds that are very likely to be received by the recipient during the program year, including funds to be received from both public and private entities, should be included.
- The recipient should also indicate how these amounts will become available (i.e. application process, letter of commitment from a lender, annual BIA funding, etc.).
- The recipient should describe how it will use NAHASDA funds to leverage other resources.

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⇒ Leverage means increasing impact by adding resources and/or making public funds go further. For example, will private funds be combined with NAHASDA funds to create a larger housing rehabilitation loan pool?

⇒ There are many ways that the recipient could demonstrate how it will leverage NAHASDA funds. For example, the recipient could create a ratio of NAHASDA funds to total project funds, thus showing the percentage of project cost borne by NAHASDA funds.

⇒ Alternately, the recipient could simply list its sources of leverage and their anticipated amount or percent investment.

⇒ Finally, if NAHASDA funds will be loaned instead of granted, the recipient's leveraging discussion could also highlight the additional amount it expects to receive in interest payments.



### Sources of Leverage

Private lenders can be a great source of leverage. For example, when NAHASDA funds are used to provide down payment assistance to a low-income homebuyer (and the private lender provides the primary mortgage), a family has become homeowners with a small NAHASDA investment! Look to the Section 184 and Section 248 Programs to encourage lender participation.

❑ The remainder of the Financial Resources discussion should describe the operating budget for NAHASDA-eligible activities. This section should highlight how NAHASDA resources will be allocated and committed.

- This should include both eligible housing activities and eligible planning and administrative expenses. (See Section 1000.236.)
- The recipient should describe its planned budget in the context of stated goals.

⇒ For example, if the recipient will allocate \$100,000 for Housing Services, it should be certain to explain what those funds will be used for and how this activity ties to the recipient's stated One Year goals and objectives.

### Completing Table 2 - Financial Resources

❑ The purpose of Table 2 is to provide a summary of the sources and uses of funds expected to be readily available for NAHASDA-eligible activities during the upcoming program year.

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- ☐ Table 2 must be consistent with the accompanying narrative on Financial Resources. It must also agree with the other portions of the IHP, particularly the Statement of Needs in the One Year Plan and the Goals and Objectives in the One and Five Year Plans.
- ☐ Table 2 requires three major types of data:
  - Projections of financial resources to be available, such as total IHBG award, program income, and other state, Federal, and private funds.
  - Projections of the number of housing units to be assisted with resources from various sources.
  - Projections of the number of families that will be assisted using different funding sources.
- ☐ Much of the data needed for Table 2 will be easily available to a recipient. Using past experience, the recipient can estimate the required figures. In other cases, the recipient will have to consult government agencies, private lenders, or other sources to collect this data.
- ☐ Table 2 consists of two parts. The total dollar amount of funds shown in each part should agree.
  - Part I: Sources of Funds for NAHASDA Activities.
    - ⇒ Part I is required. Here, the recipient describes the specific amounts it anticipates receiving from a variety of Federal, state, and local sources, including public and private entities.
  - Part II: Allocation of Funds for NAHASDA Activities.
    - ⇒ Part II is required. It enables recipients to report how they plan to budget these resources for different eligible activities.

### **Part I: Sources of Funds for NAHASDA Activities**

- ☐ NAHASDA Block Grant
  - The amount of the current IHBG allocation the recipient expects to receive.

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- The recipient will use this information as well as other resources it identifies as the foundation for the recipient's entire budget. Many types of services or programs to be provided for the community will be based on this grant amount.
- Place this information in row 1(a), column b.

### **☐ NAHASDA Program Income**

- Program income is defined as any income that is realized from the disbursement of grant amounts. It does not include any amounts generated from the operation of 1937 Act units, unless the units are assisted with grant amounts and the income is attributable to such assistance.
- Program income includes income from:
  - ⇒ Services performed.
  - ⇒ The use of real or rental of real or personal property acquired with grant funds.
  - ⇒ The sale of commodities or items developed, acquired, etc. with grant funds.
  - ⇒ Payments of principal and interest earned on grant funds prior to disbursement.
- Any program income can be retained by a recipient, provided it is used for affordable housing activities in accordance with section 202 of NAHASDA.
  - ⇒ If the amount of program income received in a single year by a recipient and all its subrecipients does not exceed \$25,000, such funds may be retained and will not be considered to be program income.
- If program income is realized from an eligible activity funded with both grant funds as well as other funds (i.e., funds that are not grant funds), then the amount of program income realized will be based on the proportional share of grant funds provided for the activity.
- Costs incident to the generation of program income should be deducted from gross income to determine program income.

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- Place information on program income in row 1(b), column b if the recipient expect to receive the program income during the recipient's Program Year.

### ☐ NAHASDA Title VI

- NAHASDA Title VI is available to recipients for NAHASDA eligible activities. To receive Title VI funds, a recipient applies to a lender, who provides the application to HUD.
- Place the amount the recipient expect to receive during the recipient's Program Year on row 1(c), column b.

### ☐ Section 184 Loan Guarantee

- This program provides loan guarantees for making home mortgages available to Native Americans on restricted lands where no source of funding is currently available.
- Place this data on row (d), column b.

### ☐ Indian Community Development Block Grant

- The program was designed to develop viable communities with decent housing, a suitable living environment and economic opportunities, for persons of low-income. Funds may be used for a variety of housing, community facilities, economic development and public services.
- Place this data on row 1(e), column b.

### ☐ Drug Elimination Grants and Drug Technical Assistance

- These grants provide assistance to communities for drug elimination/prevention and treatment activities.
- It is likely that these funds will be a major part of any drug prevention activities. The recipient can use the information as a framework to estimate how much of the community's need the recipient may be able to meet.
- Place this information on these types of grants in row 1(f), column b.

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### ☐ Prior Year Funds

- This section of the table is supposed to include any IHBG funds previously received but not programmed in an IHP that are available to be programmed in the One Year Plan. However, only small amounts (if any) should be included here given that most recipients were required in previous years' plans to program these funds into NAHASDA activities.
- If there are any remaining IHBG funds that have not been previously programmed in an IHP, place that amount on row 1(g), column b.

### ☐ Other Funds

- Other funding refers to other HUD programs not already listed on Table 2 that are expected to be received during the Program Year and are to be used for NAHASDA-eligible activities.
- Place this information on row 1(h), column b.

### ☐ 1937 Act Programs

- This data reports the amount of un-obligated funds from the following programs:
  - ⇒ 1937 Act Housing Programs,
  - ⇒ Comprehensive Improvement Assistance program (CIAP),
  - ⇒ Comprehensive Grant Program (CGP),
  - ⇒ Development Programs,
  - ⇒ Operating Subsidy and Reserves,
  - ⇒ Homebuyer Equity, and
  - ⇒ Proceeds from sale.
- Place the information on 1937 Act Programs in row 2(a), column b.

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- Do not report these funds if the recipient have already included them in a previous IHP.

### ☐ Other HUD Programs

- This information captures the total amount of un-obligated funds under the following HUD programs:

- ⇒ HOPE.
- ⇒ HOME.
- ⇒ Youthbuild.
- ⇒ Economic Development Support Services.
- ⇒ Family Investment Centers.
- ⇒ Section 8 Rental Assistance/Renewals.
- ⇒ Emergency Shelter Grants.

- Place the total of Other HUD Programs on row 2(b), column b.
- Do not report these funds if the recipient have already included them in a previous IHP.

### ☐ BIA Home Improvement Program

- This part of Table 2 requires information on the amount of funds expected to be received during the plan period under the Bureau of Indian Affairs (BIA) Home Improvement Program (HIP).
- HIP provides grants for repairs, major rehabilitation, downpayment assistance and some new housing construction to Indian people who are unable to obtain this type of assistance from any other source.
- Enter the total amount of BIA HIP funds expected on row 3(a), column b.

### ☐ Other Federal and State Resources

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- Other Federal and State resources are funds from any other Federal or State programs not previously listed on Table 2 that are expected to be received during the Program Year and will be used for NAHASDA-eligible activities.
  - Examples of other Federal or State resources include state housing trust funds, mortgage revenue bonds or loan guarantees.
  - Enter the total amount of anticipated other Federal and State resources in row 3(b), column b.
- ☐ Tribal Contributions for Affordable Housing
- Table 2 includes information on the total amount of funding from the recipient that is expected during the Program Year for NAHASDA-eligible activities. These funds are not Federal or State funds that are passed through the recipient.
  - Place the total amount of anticipated tribal funding on row 4(a), column b.
- ☐ Financial Institutions
- Funding from private financial institutions that the recipient anticipates receiving during the recipient's Program Year for NAHASDA-eligible activities should be included in Table 2.
  - Place the total amount of financial institution funding on row 4(b), column b. Do not include the amount of funds expected under Section 184 or NAHASDA Title VI.
- ☐ Other Private Resources
- This information includes other private resources not previously listed on the table that are expected during the Program Year that will be used for NAHASDA-eligible activities. Examples of other private resources include grants from private foundations or donations from area businesses.
  - Place this information on row 4(c), column b.
- ☐ Other Resources

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- If there are any other funding sources not previously listed on Table 2 for NAHASDA-eligible activities, the recipient are required to include this funding on Table 2.
- Place the total of other resources on row 5, column b.

### **Part II: Allocation of Funds for NAHASDA Activities**

- ☐ Every activity listed in Part II should match with at least one goal and objective listed in the One Year Plan. It is extremely important that the recipient classify each proposed activity in the correct category of activities. The following text provides examples of the types of activities that fit into each classification.
- ☐ Indian Housing Assistance. This includes modernization and operating of 1937 Act housing units.
  - This information should be placed in rows 7a and 7b of Part II, Table 2.
- ☐ Development of rental and homeowner housing is another category of Part II, Table 2.
  - Place information on Rental Development in row 8a, including activities relating to:
    - ⇒ Construction of new units,
    - ⇒ Acquisition, and
    - ⇒ Rehabilitation.
  - Place information on Homeownership Development in row 8b, including activities relating to:
    - ⇒ Construction of new units,
    - ⇒ Acquisition, and
    - ⇒ Rehabilitation.
- ☐ Funds allocated to Housing Services should be shown in row 9 of Part II, Table 2. These services include:

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- Housing-related services for affordable housing,
  - Homeownership counseling,
  - Resident organizations,
  - Energy audits,
  - Self-sufficiency counseling,
  - Tenant-based rental assistance, and
  - Other services.
- ☐ Place information on Housing Management Services in Row 10 of Part II. Housing Management Services include:
- Management services for affordable housing,
  - Work specifications,
  - Loan processing,
  - Inspections,
  - Tenant selections,
  - Management of tenant based rental assistance, and
  - Management of affordable housing projects.
- ☐ Funds allocated to Crime Prevention and Safety activities must be placed in row 11 of Part II. These are activities involve safety or security to protect residents of affordable housing units from crime.
- ☐ Monies programmed for Model Activities must be shown in row 12 of Part II.

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- ☐ Funds allocated for Planning and Administration activities should be placed in row 13 of Part II.
- ☐ Funds programmed as Replacement Reserves should be entered in row 14 of Part II.
- ☐ Any other activities for which NAHASDA funds have been allocated must be placed in row 15 of Part II.
- ☐ Recipients should total all columns (b, d and d) of Part II and enter the totals on row 16.
- ☐ Recipients that have funded housing activities using tribal funds can either continue funding them using tribal or NAHASDA funds. In either case, recipients should consider leveraging additional resources.

### AFFORDABLE HOUSING RESOURCES

- ☐ This section focuses on the specifics of how the recipient will implement its goals, objectives, and budget. Each of its subsections is described below. This section coincides with Table 3 – Housing Profile.

#### Completing Table 3 - Housing Profile

- ☐ Table 3 is a summary of the supply of subsidized housing, as well as an indication of housing units under development or planned for demolition or conveyance. By looking at Table 3 data in subsequent years' plans, the recipient can track progress against goals.
- ☐ Table 3 requires only one type of data:
  - Housing data, such as the number of units currently funded through various sources, as well as units in development or planned for demolition.
- ☐ Data for Table 3 should be readily available from HUD and other government agencies. It should also agree with data contained in Table 2.



**Relevant Time Period**

Data in Table 3 should reflect unit counts for the Federal Fiscal Year preceding the period of the One Year Plan. For example, if the One Year Plan is for October to September 2002, the housing count should be as of September 30, 2001.

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### NOTES

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☐ Table 3 consists of four parts.

- Part I: 1937 Housing Act Inventory Under Management
  - ⇒ Part I is required. Here, the recipient describes the number of units that are being managed under the 1937 Housing Act, and how many of these units may be demolished or conveyed to other entities.
- Part II: 1937 Housing Act Inventory in the Development Pipeline
  - ⇒ Part II is required. In this section, the recipient shows the number of units being developed.
- Part III: Section 8 Certificates and Vouchers
  - ⇒ Part III is required. It gives a snapshot of the number of housing unit being made available under Section 8 certificates and vouchers to eligible beneficiaries.
- Part IV: NAHASDA Units
  - ⇒ Part IV is required. In this part, the recipient reports any other housing units funded under previous NAHASDA grants.

### **Part I: 1937 Housing Act Inventory under Management**

☐ Mutual Help Units Under Management

- Place the information on Mutual Help units under management in row 1, column b.
- The Mutual Help program gives low-income families the opportunity to become homeowners. A portion of the family's income is used to help the family buy a home.
- This category covers units that were operated under an Annual Contributions Contract (ACC).

☐ Low Rent Units Under Management

- Place information about Low Rent units under management in row 2, column b.

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## ***NOTES***

## **Chapter 5: Writing the One Year Plan**

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- Low Rent units are developed and rented by Indian Housing Authorities where tenants pay an affordable portion of their income towards rent.
- Low Rent units to be counted include all units owned or managed which were under an Annual Contributions Contract (ACC) prior to October 1.

### ☐ Turnkey III Units Under Management

- Place information about Turnkey III units under management on row 3, column b.
- The Turnkey III program gives low-income families the opportunity to become homeowners through a lease-to-own option.
- This category includes items that were owned or operated under an ACC prior to October 1.

### ☐ Units to be Demolished or Disposed of During the Plan Period

- Record information about units to be demolished or disposed of by type:
  - ⇒ Mutual Help, row 5a, column b.
  - ⇒ Low Rent Units, row 5b, column b.
  - ⇒ Turnkey III, row 5c, column b.
- Place the total number of all the units in row 5d, column c.
- Under certain conditions, the recipient may undertake a planned demolition or disposition of Indian housing units owned or operated under an Annual Contributions Contract (ACC). This section covers units to be demolished or disposed of during the One Year Plan.
- This number should be considered when determining the number of new units needed to meet the current demand.
  - ⇒ For example, if an IHA has 1,000 units in its current stock, but 100 are scheduled for demolition this year, the recipient should think in terms of the 900 remaining units when calculating need.

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## **Chapter 5: Writing the One Year Plan**

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- If there are families living in homes to be demolished, the recipient will need to consider relocation costs and schedules as the recipient sets the One Year Plan.

### ☐ Units to be Conveyed During the Plan Period

- Show the number of units that are to be conveyed by type:
  - ⇒ Mutual Help, row 6(a), column b.
  - ⇒ Low Rent Units, row 6(b), column b.
  - ⇒ Turnkey III Units, row 6(c), column b
- Place the total number of all the units in row 6(d), column c.
- Units conveyed, just as those planned for demolition or disposition, will result in a net loss to the inventory of 1937 Housing Act units under management. However, units being conveyed represent new homeowners.

### **Part II: 1937 Housing Act Inventory in the Development Pipeline**

- ☐ Show the number of units by type that are in the development process:
  - Mutual Help Units, row 8, column b.
  - Low Rent Units, row 9, column b.
  - Total Units, row 10, column c.
- ☐ When these units are completed, the total number of units available to low-income families will increase. This higher total should be considered when analyzing total need.

### **Part III: Section 8 Certificates and Vouchers**

- ☐ Show the total number of both Section 8 vouchers and certificates administered by the recipient in row 11, column b.

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## **NOTES**

## ***Chapter 5: Writing the One Year Plan***

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- Section 8 is a HUD program that provides rental assistance, through housing authorities, to low-income families. Rental assistance is provided in the form of a certificate or voucher to the tenant or landlord.

### **Part IV: NAHASDA Units**

- ☐ Show the total number of NAHASDA-funded units administered by the recipient in row 12, column b.
- ☐ NAHASDA units are units that have been completed with NAHASDA funds and are occupied or ready for occupancy.

### ***Characteristics of the Housing Market***

- ☐ In this section, the recipient describes the housing market in the Indian area. This includes describing the availability of housing that Indian families can access through public resources or private-market housing, including:
  - The IHA (which may remain an entity after implementation of NAHASDA);
  - The local public housing authority;
  - Private owners of FHA-insured multi-family housing;
  - Private owners of housing offered under state-funded programs;
  - Private owners of housing offered on the rental or owner market; or
  - Local nonprofit organizations or foundations.
- ☐ Describe the type, characteristics and level of housing offered by these types of entities, as applicable in the recipient's area.
  - The recipient should specifically describe how the availability of these resources affected its choices regarding rental assistance, the production of new units, acquisition of existing units, or rehabilitation of units.

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## ***NOTES***

## Chapter 5: Writing the One Year Plan

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- The following information may also be useful and appropriate housing market information:

- ⇒ Vacancy rates,
- ⇒ Turnover rates,
- ⇒ Recent sales,
- ⇒ Construction costs, and/or
- ⇒ Availability of mortgage credit.

### Other Variables

Think of additional variables that affect housing availability, affordability and adequacy. Don't limit the community profile to the variables listed here.

### Structure/Coordination/Cooperation with Other Entities

- ☐ In this section, the recipient needs to describe the structure, coordination, and means of cooperation between the recipient and other government organizations.
  - Other governmental entities may include: the IHA; the local PHA; the local government; the State; the local community development or planning department; county government agencies; or other tribal governments.
  - The recipient should describe this cooperation in the context of the development, submission and implementation of the recipient's housing plan.
- ☐ In addition, the recipient will need to describe how other organizations will be involved in the recipient's plan development, submission or implementation.
  - These other organizations *might* include:
    - ⇒ Private entities: local lenders; local developers; local contractors; or local apartment owners or managers.
    - ⇒ Public entities: the state; local governments; or area-wide public authorities such as a sanitation district.
    - ⇒ Nonprofit entities: local nonprofit housing developers; local associations like the Chamber of Commerce; or local foundations.

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## NOTES

## ***Chapter 5: Writing the One Year Plan***

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- The recipient should describe how, when, and where it will work with these organizations.
  - ⇒ For example, if the recipient does not have local nonprofit developers or does not have a need to work with any such group, it obviously does not need to discuss how to coordinate with these organizations.
- There are many ways that the recipient could arrange this discussion, such as by:
  - ⇒ Partner type: public, private, or nonprofit entities.
  - ⇒ Program type: partners who help with rehabilitation; partners who help with homeownership.
  - ⇒ Types of relationship: funding source; technical assistance provider.
- Regardless of structure, the recipient should cover:
  - ⇒ How/if the partners work together on other HUD Indian housing loan or grant programs, such as the Indian Community Development Block Grant Program (ICDBG).
  - ⇒ How/if the partners work together on other programs provided by the Federal Government to recipients, including loans, grants, and mortgage insurance.

### ***Manner in Which Housing Needs will be Addressed***

- ☐ In this section, summarize how the plan will address the needs identified in the Statement of Needs.
- ☐ This discussion should focus on how, through the programs outlined in its goals and objectives, the recipient will address the various needs with NAHASDA and other funds expected in the coming year.
  - If there is a housing need that will not be addressed with the upcoming year's funding, this housing need should be described in the statement of needs.

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## ***NOTES***

## **Chapter 5: Writing the One Year Plan**

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- Then, in this section, the recipient may want to simply note that it cannot be addressed at this time due to whatever constraint (funding, staff expertise, timing, etc.).
- ☐ The recipient's discussion of solutions must be linked to the earlier presentation of goals and objectives. Where feasible and logical, the information contained in the goals and objectives section should be expanded to provide additional project detail.
  - ⇒ "More than 500 families from the XYZ Recipient currently live in substandard housing. Unable to afford rehabilitation services, many of them have deferred home maintenance. When surveyed, these families felt that a housing program of low-cost materials and technical assistance would enable them to renovate their units. In order to address this pressing need, XYZ will develop a homeowner rehabilitation and tool-lending program. Under this program, we will purchase rehabilitation materials in quantity and sell them at a discount to our homeowners. The homeowner will also be permitted to sign out for basic tools from our tool lending library. In order to receive these materials and tools, the homebuyer will need to first attend a basic unit repair seminar administered by the recipient."

### ***Manner in which 1937 Act Housing will be Protected/Maintained***

- ☐ NAHASDA requires that recipients protect and maintain the viability of housing funded under the Housing Act of 1937 (1937 Act). Recipients must now fund these properties with NAHASDA grant monies.
- ☐ Housing developed and activities authorized under the 1937 Act includes:
  - Mutual Help and Mutual Self Help,
  - Low Rent Housing,
  - Turnkey III,
  - Section 8,
  - Comprehensive Grant Program (CGP), and
  - Comprehensive Improvement Assistance Program (CIAP).



#### **Support of 1937 Act Housing Priority**

Recipients with 1937 Act housing must plan for the ongoing maintenance and support of this housing. Recipients also may identify support of 1937 Act housing, as a priority need. For example, a recipient whose existing units were largely financed through Mutual Help homeownership may decide that the repair or rehabilitation of these homes is a priority activity.

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## **NOTES**



## ***Chapter 5: Writing the One Year Plan***

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- ☐ Recipients must describe in the narrative to Table 3 how they will protect and maintain the viability of any 1937 Act housing. Any funds allocated to the support of 1937 Act housing must also be included in the recipient's budget and on Table 2: Financial Resources.
- ☐ Recipients should also cross check the number of units shown on line 5 of Table 3 (planned for demolition or conveyance) against their narrative.

### ***Existing/Anticipated Homeownership and Rental Programs***

- ☐ In this section, the recipient must describe existing and planned homeownership and rental programs. This discussion must be consistent with the recipient's previous discussion of goals and objectives.
  - The NAHASDA plan requirements permit the recipient a great deal of flexibility in how the recipient describe these planned programs. Be creative!
  - These programs could be a continuation of the recipient's existing programs or could be a new initiative.
- ☐ In addition to describing the types of rental and homeownership programs that will be offered, the recipient must describe the requirements for participation under these programs and the types of assistance that will be available.

### ***Existing/Anticipated Housing Rehabilitation Programs***

- ☐ This discussion should focus on how planned housing rehabilitation programs are necessary to ensure the long-term viability of the recipient's housing assets.
- ☐ This section must also include a discussion of the recipient's program requirements and types of assistance.
- ☐ It is a good idea for the discussion of rehabilitation programs to draw upon the recipient's previous discussion of needs and of goals/objectives.

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## ***NOTES***

### ***Other Existing/Anticipated Housing Assistance***

- ☐ There is a wide range of activities that the recipient could elect to undertake. Examples include:
  - Transitional housing,
  - Homeless housing,
  - College housing, or
  - Supportive services housing.
- ☐ Again, the recipient must describe the requirements for these programs and the types of assistance that will be made available within the context of the plan's goals and objectives.

### ***Housing to be Demolished or Disposed of***

- ☐ This section must describe the units that are planned to be demolished or disposed of, and the timetable for this demolition or disposition, as well as any other information required by HUD in order to approve these actions.
- ☐ In addition, the recipient must submit a financial analysis regarding the proposed demolition/disposition.
- ☐ If the recipient is planning to undertake demolition or disposition, the recipient should discuss:
  - Impact on residents;
  - Anticipated relocation expenses and issues;
  - Reasons for the planned demolition or disposition;
  - Likely units to replace those that will be lost; or
  - Methods for ensuring public participation in the decision to conduct the demolition or disposition.

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## ***NOTES***

## ***Chapter 5: Writing the One Year Plan***

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- ☐ The recipient may either submit the recipient's formal request for HUD approval of demolition or disposition of specific units through the Indian Housing Plan in accordance with 1000.134, or may discuss it generally in this section of the plan and submit a more detailed request to HUD at a later date.

### ***Coordination with Tribal and State Welfare Agencies***

- ☐ In this section, the recipient should describe its plans for assisting tribal members to become self-sufficient, including how it will coordinate with other involved organizations, such as the tribe or the state.
- ☐ There are a number of ways that recipients can help with Welfare to Work issues, including:
  - Link housing applicants with welfare agencies by developing a one-stop shop for social services;
  - Hand out materials on Welfare to Work Programs to applicants;
  - Offer incentives such as reduced rent payments to qualified tribal members who are involved in a job training program; or
  - Establish a partnership with a local community college and create a training program.

### ***The Manner in which Safety and Resident Involvement will be Promoted***

- ☐ In this section, the recipient must describe its efforts to:
  - Promote safety for residents;
  - Facilitate crime prevention measures;
  - Foster and permit resident involvement, including resident organizations; and
  - Coordinate crime prevention activities with tribal and local law enforcement professionals.



#### **Tip!**

States are required to develop a Welfare Reform Implementation Plan. Get a copy of this plan and find out about initiatives in the recipient's area! For more information, call the state department of labor or human services.

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## ***NOTES***

## Chapter 5: Writing the One Year Plan

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- ☐ This very broad category permits the recipient to describe a wide range of initiatives to ensure safety and input of residents.

### **Organizational Capacity and Key Personnel**

- ☐ In this section, the recipient describes its capacity, organizational structure and key personnel. The purpose of this section is to highlight how the recipient will conduct the work that it has planned.
- ☐ There is no required format for this section. However, recipients may wish to discuss topics such as:
  - Organizational chart;
  - Overview of key responsibilities and the qualifications of staff to undertake these jobs;
  - Procedures and policies that are in place to help assure uniform and accurate implementation of the NAHASDA requirements;
  - Checks and balances and other measures of internal control; and
  - Procedures for hiring any needed new staff members.

## **PERFORMANCE OBJECTIVES**

- ☐ One of the most important aspects of a plan is the ability to measure or track progress against identified needs.
- ☐ Performance Objectives for what it will accomplish during its upcoming program year (12 months) regardless of which year's grant funds are used.
  - For example, one of a recipient's One Year Goals and Objectives might include something like the following:



### **Important!**

Performance Objectives differ from the One Year Goals and Objectives. One Year Goals and Objectives are tied to a specific grant. They describe what the recipient will accomplish using a particular IHBG. Performance Objectives are not tied to a grant. Instead, they track with time and describe what the recipient will do during the next 12-month period covered by the plan.

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## **NOTES**

## **Chapter 5: Writing the One Year Plan**

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- ⇒ Goal: The XYZ tribe will reduce overcrowded conditions in the Indian area by constructing two duplexes with \$250,000 in IHBG dollars.
- ⇒ Objective: The duplexes will be completed within 18 months and will be used in the tribal rental program.
- Given the stated Goal and Objective -- to use part of the upcoming IHBG to build housing that will take at least 18 months to complete -- the Performance Objective should reflect only the parts of this Goal and Objective that will be completed in the next 12 months. For example, this recipient's Performance Objective might read something like: "We will acquire a site for two duplexes by October 2001 and complete architecture and engineering work for two duplexes by December 2001." The rest of the work that must occur to make the housing happen will occur after the next year and thus do not need to be included in the IHP.
- ❑ One of the most logical ways to develop Performance Objectives is to look at the One Year Goals and Objectives. Next, using a timeline or calendar showing the 12 months covered by the plan, plot out which Goals/Objectives will occur within the 12-month period. Take those that will occur during this timeframe and list them in the One Year Plan. These are the Performance Objectives.
- ❑ Remember that recipients are given flexibility in selecting what their Performance Objectives should be. Performance Objectives do not need to only include units completed, but might also include steps in the process (such as leasing land, bidding out the construction or obtaining other funding).
- ❑ However, recipients must tie Performance Objectives directly to One Year Goals and Objectives.
  - Performance Objectives that are not tied to both a Goal/Objective and an amount budgeted within Table 2 are not acceptable.
- ❑ Performance Objectives must be realistic. Over- or under-estimating does not help staff to plan for the coming year's activity. Also, progress against Performance Objectives must be reported in the Annual Performance Report (APR).

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## **NOTES**

## **OTHER SUBMISSION ITEMS**

- ☐ In this section, the recipient describes additional elements of its NAHASDA program.

### ***Useful Life***

- ☐ The NAHASDA statute requires that housing remain affordable. In order to determine how long units must remain affordable, the recipient must define the term “useful life”.
- ☐ Useful life may be defined in many ways. However, it generally means the period during which the unit is still functional and able to effectively house tribal members.
- Examples: The useful life for homeownership units is the term of the lease agreement, which will be 25 years.”
- ☐ However, be certain to describe the useful life for all assisted housing units in all developments.

### ***Model Housing Activities***

- ☐ If a recipient wishes to undertake a model housing program:
- DO NOT begin the activity until HUD approval from the Secretary or his/her designee is obtained!
  - Be sure to clearly explain all aspects of the recipient’s proposal, including why this model program is needed.
- ☐ Examples of model programs include:
- New housing office buildings: This pertains to the rehabilitation of or addition to existing office space that will be used to house the recipient’s administration of NAHASDA activities.



#### **Important!**

Model housing activities differ from activities for non low-income families. HUD must approve model activities. HUD approval for non low-income activities is required only if the recipient plans to use more than 10% of its grant to assist families with incomes from 80 – 100% of median or to help anyone over 100% of median. See Chapter 6 for more information and guidance.

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## **NOTES**

## ***Chapter 5: Writing the One Year Plan***

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- Warehouses: This pertains to maintenance and storage space for housing materials, including the rehabilitation of or additions to existing warehouse, based on a determination of need by the Area ONAP.
  - Day Care Centers: This pertains to facilities that will be used by residents of 1937 Act housing and families receiving NAHASDA assistance for affordable housing.
  - Community buildings or centers: This includes facilities that will be used for affordable housing activities and by families residing in 1937 Act housing or receiving NAHASDA assistance for affordable housing.
- ☐ Proposals to undertake these kinds of activities may either be included in the Other Submissions section of the One Year plan, or, as a separate submission later in the program year. See Chapter 6 for a detailed discussion on submitting model activities.

### ***Tribal and Other Indian Preference***

- ☐ The recipient is permitted to establish its own policy for whom it will serve. The recipient may elect to serve only members of its tribe or all Indians in its service area.
- ☐ If the recipient elects to establish a preference policy, who will be given preference and how this preference will work must be described in this section.
- For example, will the recipient only serve tribal members or will it simply give tribal member applications five extra points during its project/application review process?
- ☐ Also be certain to explain if the preference will be given to households with specific needs.
- For example, will homeless households get first priority?

### ***Planning and Administration***

- ☐ The recipient can use up to 20 percent of its annual grant amount for administration and planning. Higher percentages require HUD approval.
- ☐ The recipient must identify the percentage of grant funds that will be used in the IHP.

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## ***NOTES***

## **Chapter 5: Writing the One Year Plan**

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### **Minimal Funding**

- ☐ In the first year of NAHASDA participation, an Indian tribe whose allocation is less than \$50,000 under the need component of the formula shall have its need component of the grant adjusted to \$50,000. An Indian tribe's IHP shall contain a certification of the need for the \$50,000 funding. In subsequent years, (not to extend beyond Federal Fiscal year 2002), an Indian tribe whose allocation is less than \$25,000 under the need component of the formula shall have its need component of the grant adjusted to \$25,000. The need for Section 1000.328 will be reviewed in accordance with Section 1000.306.
- ☐ If this is desired, the recipient must certify in this section of the plan that there is a need for minimal funding.

### **Method of Payment**

- ☐ The method of payment requirement was added to the IHP during one of the last negotiated rule making meetings when lump-sum payment distribution was being discussed. Since lump-sum payments were not approved in the final regulation, there is no longer a need for a recipient to state, in its IHP, how it wishes to receive its grant funds.
- ☐ The recipient may state the method it will use to request grant funds in its IHP.

## **CERTIFICATIONS**

- ☐ There are two types of certifications in the One Year Plan.
  - Standard Certification of Compliance, and
  - Tribal Certification.
- ☐ There is also an environmental review form that recipients include in this section.

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## **NOTES**



## ***Chapter 5: Writing the One Year Plan***

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### ***Certification of Compliance***

- ☐ The Certification of Compliance is an assurance that the recipient will comply with all other requirements associated with NAHASDA funding, such as equal opportunity, lead-based paint, insurance coverage and other regulations.
  - Where the Certification permits a decision (parts B-E), carefully determine whether each requirement applies to the recipient (given selected activities), and check that box accordingly.
  - DO NOT skip a box if the recipient is undertaking that type of program activity.
    - ⇒ For example, if undertaking a rental housing programs, the recipient must have the policies described under part (D) in place, and must check this box.
  - Have this certification signed by the recipient's authorized tribal official.

### ***Tribal Certification***

- ☐ The Tribal Certification is used ONLY if a TDHE has prepared the plan for the tribe. It authorizes the TDHE to prepare and submit the plan on behalf of the tribe.

### ***Environmental Review – Expression of Interest***

- ☐ The Environmental Review – Expression of Intent provides HUD with information needed to assist the recipient in the completion of environmental review responsibilities.
- ☐ The Environmental Review – Expression of Intent form (not the requirements) is an optional element of an IHP.
  - An IHP cannot be found in noncompliance because this item was not included.

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## ***NOTES***

## **LIST OF ATTACHMENTS**

Attachment 5-1: Table 1- Statement of Needs

Attachment 5-2: Table 2- Financial Resources

Attachment 5-3: Table 3- Housing Profile

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## **NOTES**

**Attachment 5-1:**  
**Table 1 – Statement of Needs**



**Table 1  
Statement of Needs**

Name of Tribe:

Name of TDHE: (if applicable)

Grant Number:

Federal Fiscal Year: Tribal/TDHE Program Year:

Indian Area:

<b>Part I: Tribal Profile for Indian Area</b>		<b>All Indians in the Indian Area</b>		
	column a	All Income Levels column b	Low-Income column c	
1. Total Indian Population				
2. Number of Indian Families				
3. Number of Elderly Indian Families				
4. Number of Near-Elderly Indian Families (optional)				
5. Number of Indian Families Living in Substandard Housing				
6. Number of Indian Families Living in Over-Crowded Conditions				
<b>Part II: Tribal Profile for Indian Area (Optional)</b>		<b>All Income Levels</b>	<b>Low-Income</b>	
7.				
<b>Part III: Current Status and Future Needs</b>				
Type of Housing column a		Existing Housing column b	Unmet Needs for All Indian Families column c	Unmet Needs for Low-Income Indian Families column d
8. Rental Housing	a. Number of Units			
	b. Number of Units Needing Rehabilitation			
9. Homeowner Housing	a. Number of Units			
	b. Number of Units Needing Rehabilitation			
10. Supportive Service Housing (# of units)				
11. College Housing (# of units)				
12. Transitional Housing (# of units)				
13. Homeless Housing (# of beds)				
<b>Part IV: Other Current Status and Future Needs (Optional)</b>				
14.				
Data Source:				



**Attachment 5-2:  
Table 2 – Financial Resources**





## Table 2 Financial Resources

Name of Tribe:

Name of TDHE: (if applicable)

Grant Number:

Federal Fiscal Year:

Tribal/TDHE Program Year:

Type of Submission: ☐ Original ☐ Amended

### Part I: Sources of Funds for NAHASDA Activities

Sources of Funds column a	Planned Amount column b
<b>1. HUD Resources</b>	
a. NAHASDA Block Grant	
b. NAHASDA Program Income	
c. NAHASDA Title VI	
d. Section 184 Loan Guarantee	
e. Indian Community Development Block Grant	
f. Drug Elimination Grants and Drug Technical Assistance	
g. Prior Year Funds	
h. Other	
<b>2. Existing Program Resources</b>	
a. 1937 Housing Act Programs	
b. Other HUD Programs	
<b>3. Other Federal or State Resources</b>	
a. BIA Home Improvement Program	
b. Other	
<b>4. Private Resources</b>	
a. Tribal Contributions for affordable housing	
b. Financial Institution	
c. Other	
<b>5. Other</b>	
<b>6. Total Resources</b>	

Table 2 Financial Resources Continued

## Part II: Allocation of Funds for NAHASDA Activities

Activity column a		Budgeted Amount column b	Planned Number of Units column c	Number of Families column d
7. Indian Housing Assistance				
a. Modernization (1937 Housing Act)				
b. Operating (1937 Housing Act)				
8. Development				
a. Rental	1. Construction of new units			
	2. Acquisition			
	3. Rehabilitation			
b. Home-ownership	1. Construction of new units			
	2. Acquisition			
	3. Rehabilitation			
9. Housing Services				
10. Housing Management Services				
11. Crime Prevention and Safety				
12. Model Activities (specify below)				
a.				
13. Planning and Administration				
14. Reserves				
15. Other				
16. Total				

**Attachment 5-3:  
Table 3 – Housing Profile**



### Table 3 Housing Profile

Name of Tribe:

Name of TDHE: (if applicable)

Grant Number:

Federal Fiscal Year:

Tribal/TDHE Program Year:

#### Part I: 1937 Housing Act Inventory Under Management

Housing Inventory column a		Number of Units (Subtotal) column b	Number of Units (Total) column c
1. Mutual Help Units Under Management as of September 30			
2. Low Rent Units Under Management as of September 30			
3. Turnkey III Units Under Management as of September 30			
4. Total Beginning 1937 Housing Act Inventory			
5. Units Planned to be Demolished or Disposed of During Plan Period	a. Mutual Help		
	b. Low Rent		
	c. Turnkey III		
	d. Total		( )
6. Units Planned to be Conveyed During Plan Period	a. Mutual Help		
	b. Low Rent		
	c. Turnkey III		
	d. Total		( )
7. Total Planned Ending 1937 Housing Act Inventory as of Sept. 30			

#### Part II: 1937 Housing Act Inventory in the Development Pipeline

8. Mutual Help Units in the Pipeline as of September 30		
9. Low Rent Units in the Pipeline as of September 30		
10. Total Units in Pipeline as of September 30		

#### Part III: Section 8 Vouchers and Certificates

11. Section 8 Vouchers and Certificates as of September 30		
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#### Part IV: NAHASDA Units

12. Total NAHASDA Units as of September 30		
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## CHAPTER 6: SUBMITTING AND IMPLEMENTING THE PLAN

This chapter covers issues relating to the submission and implementation of an IHP. Specifically, this chapter describes:

- ☐ When should the IHP be submitted.
- ☐ Who should submit an IHP.
- ☐ How the IHP can be submitted.
- ☐ What the process and requirements for submitting model activities, amendments, and waivers is.
- ☐ The IHP Review Process
- ☐ What key tips in implementing the IHP are.
- ☐ How a recipient measure the effectiveness of the IHP.

### SUBMITTING THE IHP

#### *When to Submit an IHP*

- ☐ IHPs should be submitted to the appropriate Area Office of Native American Programs (ONAP) no later than July 1 of the Federal fiscal year for which the funds are being requested.
- ☐ Although not required, recipients are encouraged to submit their plan 60 days prior to the start of their program year in order to maintain continuity in their programs.
  - While an IHP can be submitted any time prior to the July 1 deadline, remember that grant funds cannot be provided until funds are available. Funds are made available only after Congress appropriates the funds and makes available to HUD for distribution.

#### *Who Submits an IHP?*

- ☐ An Indian tribe submits an IHP.
- ☐ If a tribe has designated a TDHE, the TDHE may submit the IHP on behalf of the tribe.

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### NOTES



## ***Chapter 6: Submitting and Implementing the Plan***

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- ☐ If a TDHE has been designated by more than one tribe, the TDHE can submit a separate IHP for each tribe or it may submit a single IHP for all the tribes over which the TDHE has jurisdiction.

### ***How to Submit an IHP***

- ☐ An IHP may be submitted to an Area ONAP in one of the following four ways:
  - An on-line form via the Internet.
  - An attachment via the Internet.
  - An electronic form via diskette.
  - A paper submission.
- ☐ If at all possible, the IHP should be submitted electronically via the Internet or by mailing a computer diskette copy to ONAP. In cases when a recipient does not have the appropriate software to complete an electronic version of the IHP, a paper copy of the IHP (HUD-52735) may be submitted to ONAP.
  - To submit the plan on-line, go to the NAHASDA Home Page at <http://www-domino.hud.gov/ihp/newhome.nsf>. This Home Page contains a Lotus Notes interface that allows Recipients to submit the IHP on-line.
    - ⇒ First register by clicking on the “register” icon and follow the instructions.
    - ⇒ When registering, the person who will be submitting the IHP will be asked to provide the following information:
      - The official name of the recipient, selected from a list that will appear in a “pop-up window” on the web page.
      - A password (selected by the registrant) to ensure that only the registrant will be able to view and edit the IHP on-line while it is being completed.



#### **Computerize Your Plan**

Submitting an electronic version of the IHP cuts down on the paperwork and time needed to retype a hard copy of the plan. An electronic copy will also make it easier to edit the plan and store the information for future reference.

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## ***NOTES***

## ***Chapter 6: Submitting and Implementing the Plan***

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- A telephone number and/or e-mail address that ONAP should use to contact the registrant about their IHP registration and submission status.
- ⇒ Once the registration is completed, the information will be reviewed by the Area ONAP and a special Internet account will be set up that will allow only the registrant to complete the IHP on-line.
- ⇒ The IHP does not need to be completed in one sitting. An incomplete (work in progress) IHP can be “saved” in the system that cannot be viewed by HUD or anyone other than the registrant until they choose to officially submit their finished document.
- To submit the plan as an electronic attachment, download a Microsoft Word 95 or 97 template of the IHP from the NAHASDA home page and attach it to the electronic submission of its IHP.
  - ⇒ To download the Microsoft Word 95 or 97 template from the Internet:
    - Go to the NAHASDA Home Page at:  
<http://www-domino.hud.gov/ihp/newhome.nsf>
    - Click on the “download IHP” icon and follow the instructions given on the screen.
  - ⇒ The Word 95 or 97 IHP template includes macros that make it easy to input the information, as well as detailed “help” instructions for further guidance.
- To submit the plan by diskette, contact the Area ONAP to obtain a diskette containing the Word 95 or 97 template. The Area ONAP will then mail a diskette to the Recipients.
  - ⇒ After an IHP has been submitted on-line to ONAP, only the registrant and ONAP staff can view the electronically submitted IHP while it is in ONAP’s compliance review process.
- ❑ The NAHASDA Home Page also contains other useful features, including:
  - The NAHASDA Discussion – an area where users can ask questions and post information regarding the Indian Housing Block Grant Program (IHBG);
  - A list of frequently asked questions (FAQs) regarding the program;

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## **NOTES**

## ***Chapter 6: Submitting and Implementing the Plan***

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- The Reference area that includes relevant reference documents on NAHASDA and the program; and,
- A Help area that provides on-line assistance for each of the NAHASDA Home Page components.

## **SUBMITTING MODEL HOUSING AND OVER-INCOME ACTIVITIES**

### ***Model Housing Activities***

- ☐ If a recipient wishes to undertake a model-housing program it must first receive HUD approval.



#### **REMEMBER!**

Recipients do not need HUD approval to assist non-Indian families with IHBG funds as long as it is documented in the IHP that the presence of the family is essential to the well-being of Indian families (not the tribe) and that housing needs cannot measurably be met without assistance.

- Recipients can submit model-housing activities either by including the activities in the One Year Plan (see Chapter 5) or by submitting these activities to the Area ONAP as a separate proposal.
- Model housing activities do not necessarily have to be included in the One Year Plan. Recipients can submit model housing activities to an Area ONAP for review and approval at any time during the year.
- Be sure to clearly explain all aspects of your proposal, including why the model program is needed.

- ☐ DO NOT begin any model housing activities until you get HUD approval from the Secretary or his/her designee!

### ***Over-Income Activities***

- ☐ In certain circumstances, recipients may assist over-income families.
- ☐ Recipients do not need HUD approval if they are providing no more than 10% of their grant to assist families whose incomes fall between 80 to 100 percent of the median income (see §1000.110 for specific requirements) as long as they provide detailed documentation that housing needs cannot be met without IHBG assistance.

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## **NOTES**

## Chapter 6: Submitting and Implementing the Plan

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- ☐ However, any activities for families over 100 percent of the median or above the 10 percent allowed for those between 80 and 100 percent does require HUD approval
- ☐ Recipients may submit over-income activities in their IHP, by amendment, or by special request to HUD at any time.
  - All over-income activities must be in accordance with Section 1000.110 of the NAHASDA Regulation.
- ☐ After receiving the proposal, HUD will have 60 calendar days to review and respond to the recipient's request.

### SUBMITTING WAIVERS

- ☐ A recipient may request a waiver for IHP requirements that it is unable to meet due to circumstances "beyond the control of the tribe", such as disasters.
- ☐ Waivers are forwarded to the Program Office for approval through the Area Office as part of the plan submission.

### SUBMITTING AMENDMENTS

- ☐ A recipient may revise its IHP at any time during the year. However, recipients should limit the submission of amendments for ONAP approval that:
  - Add new activities; or
  - Involve a decrease in the amount of funds provided to protect and maintain the viability of housing assisted under the 1937 Act.
- ☐ If a revision or modification to the IHP does not fall into one of the above categories, recipients are encouraged to submit these modifications and an explanation of why these modifications were made with their APR.



#### REMEMBER!

If a TDHE is submitting revisions to an IHP, a Tribal Certification must accompany the revision unless the original Tribal Certification allowed for the submission of IHP amendments without further tribal certifications.

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### NOTES

## ***Chapter 6: Submitting and Implementing the Plan***

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- ☐ The review of amendments to determine compliance follows the same review procedures as outlined below. HUD will act on amended IHPs within 30 days.

### **THE IHP REVIEW PROCESS**

#### ***Review Criteria***

- ☐ Section 103 of the NAHASDA statute specifies that ONAP shall conduct a limited review of each IHP submitted to determine whether the contents of the plan:
  - Set forth the information required by Section 102 of NAHASDA, which outlines the IHP submission requirements.
  - Are consistent with the information and data available to HUD.
  - Are not prohibited by or inconsistent with any provisions of NAHASDA or other applicable law.
  - Include the appropriate certifications.
- ☐ The IHP review by ONAP will focus on the eligibility of the proposed activities and compliance with the limited review criteria noted above.



#### **Remember!**

Keep in mind that a limited review does not mean that the statutory and regulatory requirements are overlooked.

#### ***Timing***

- ☐ Within 60 days of submission of the IHP, HUD will notify the recipient of the following:
  - Whether the IHP is in compliance with Section 102; or
  - Whether the IHP is in non-compliance with Section 102 of the Act. A final determination of noncompliance will be made if the IHP is not consistent with information and data available to HUD, the additional information requested is not submitted or inadequate, or the IHP activities are prohibited by or inconsistent with any NAHASDA provision or other applicable law. See the following section for more information.
- ☐ At the conclusion of the IHP review, but no later than 60 days from the date of submission, ONAP will notify the recipient as to whether their plan is in compliance or not in compliance

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### **NOTES**

## ***Chapter 6: Submitting and Implementing the Plan***

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with the IHP requirements. If ONAP fails to provide notification of compliance/noncompliance within 60 days of submission of the IHP, the IHP will be considered in compliance with Section 102 of the Act and is considered approved.

### ***Appeals***

- ☐ The final rule contains an appeals process that recipients can exercise if an IHP is determined to be in noncompliance. This appeals process pertains also to the denial of a model housing activity, request to assist over-income families, and an amendment.
- ☐ The process states that within 30 days of receiving HUD's notification of noncompliance of an IHP or of a modification to an IHP, the recipient may submit a written request for reconsideration.
  - This request must include justification for the reconsideration.
  - This reconsideration request is submitted to the Area ONAP.
- ☐ The Area ONAP will then have 21 days to act on the reconsideration request. HUD must provide written notification to the recipient of its decision to affirm, modify, or reverse its initial determination. This notification will also include the reasons for HUD's decision.
- ☐ If the Area ONAP denies the request for reconsideration, the recipient may file an appeal with the Assistant Secretary within 21 days of receiving the denial. This appeal must include the reasons why the recipient does not agree with HUD's decision. It must also include justification for reconsideration by the Assistant Secretary.
- ☐ The Assistant Secretary will act on the appeal within 21 days of receipt. The Assistant Secretary will provide written notification to the recipient setting forth the reasons for the decision. The Assistant Secretary's decision constitutes final agency action.

### **IMPLEMENTING THE IHP EFFECTIVELY**

- ☐ Once a plan is written and approved, it is time for action!
- ☐ While the planning process itself may have laid the groundwork, it is important now to focus on how to implement the plan to achieve maximum success.

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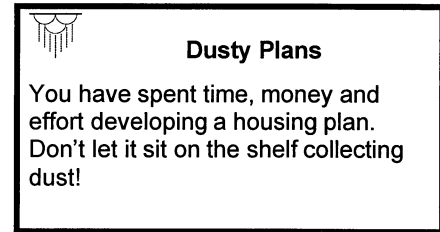
### **NOTES**

## ***Chapter 6: Submitting and Implementing the Plan***

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☐ A few things to keep in mind:

- The implementation phase requires the same thoughtful planning as the preparation of the plan itself. Follow the strategy planning steps used during plan development:
  - ⇒ Evaluate performance and outcomes,
  - ⇒ Re-assess needs,
  - ⇒ Re-assess resources,
  - ⇒ Analyze potential uses of resources,
  - ⇒ Make decisions strategically, and
  - ⇒ Translate decisions into:
    - 1 year goals and
    - 1 year objectives.
- Implementation is typically more effective if it starts right after the planning process is complete while the momentum is still going.



☐ One way to approach the implementation is to form an implementation committee.

- Some of the members of this committee may be the same as those involved in the plan development.
- Keep in mind that broad-based representation is typically the most successful approach to avoiding controversy and ensuring active participation.

☐ Take the time to think about the resources needed to carry out the plan.

- This should include human and financial resources and other factors such as physical space and equipment.

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## ***NOTES***

## Chapter 6: Submitting and Implementing the Plan

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- ⇒ Determine the number and qualifications of staff for each of the functions to be performed.
- ⇒ Plan the physical space needed to house administrative and program staff.
- ⇒ Develop a budget for the funding needed for program and administrative purposes and identify possible sources of funds.
- ⇒ Obtain technical assistance to help design specific housing programs or to carry out specialized tasks.
- ⇒ Research examples of best practices that others have developed in similar situations. Adopt the techniques that seem like the best fit for the plan's implementation.
- ⇒ Develop a management structure and create policies and procedures for administering the plan and the individual program components.



### Resources

Include obtaining needed resources in the actual implementation itself. Goals and objectives will not be achieved on their own.

- ❑ Outreach is just as important during the implementation as it is during the development of the plan. Providing for ongoing communication and participation in the implementation phase is an essential part of ensuring that tribal members and partners feel that the plan belongs to them.
  - Coordinate and communicate with planning partners. If this doesn't happen, these people and organizations are more than likely not going to be as willing to help the next time the planning process happens.
  - Fully utilize key organizations in carrying out goals and objectives outlined in the plan. Nine times out of ten, the agency responsible for the plan is not capable of bearing the burden of implementing the plan on its own.



### Ideas for Retaining Public Involvement

- Author a weekly column or feature article in the tribal newspaper.
- Start a newsletter and have residents share their views as a regular feature.
- Prepare special mailings to inform residents about upcoming special events.
- Hold regular public meetings, publicize the agenda in advance and encourage participation.
- Plan annual and special celebrations of milestones and recognize individual and group accomplishments.

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## NOTES



- Try to keep the burning issues out in front of people and keep people interested in addressing identified problems.

### **MEASURING THE EFFECTIVENESS OF THE IHP**

- ☐ The job does not end with the implementation of the IHP. Remember, an IHP is only as successful as it is effective. Thus, a critical component of the IHP process is measuring the recipient's progress in carrying out the activities described in the IHP. In other words, what is working and what is not. Measuring performance is critical because:
  - It allows a recipient to consult with the community on current and planned activities.
  - It can help assess compliance with administrative and contract compliance issues.
  - It is a tool for the recipients to use to identify areas where technical assistance may be needed. HUD can then provide that assistance.
- ☐ To measure the effectiveness of an IHP, design a system for monitoring, recordkeeping, and evaluation of performance.
  - Collect feedback and keep up-to-date on the status of the plan's progress.
  - Document achievements, as well as reasons why certain goals/objectives were not achieved, for reporting purposes.
  - Outline a method for updating your plan if needs change or goals and objectives are deemed unrealistic.

### ***Annual Performance Report (APR)***

- ☐ Under Section 404 of NAHASDA, recipients must submit an Annual Performance Report (APR) for each fiscal year measuring its progress in carrying out the activities described in its IHP.
- ☐ This performance report must be made publicly available to the citizens in the jurisdiction of the tribe for comment.

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## **NOTES**

## ***Chapter 6: Submitting and Implementing the Plan***

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- ☐ After making the report publicly available to the citizens, Recipients should submit the conclusions to HUD.
  - If an APR is not submitted within 60 days of the end of the program year, the Area ONAP will ask the recipient to submit the following documentation before being able to draw down funds from the Line of Credit Control System (LOCCS):
    - ⇒ Billing documents.
    - ⇒ Contract register.
    - ⇒ Project expenditure register.
    - ⇒ Staffing documentation.
  - This documentation serves to substantiate that the IHBG funds being requested will be used to implement the goals and objectives of the recipient's IHP and that the activities being conducted are in compliance with statutory and regulatory requirements.
  - If no APR is submitted, this is considered non-compliance and grant amounts are subject to adjustment, reduction or total withdrawal of grant funds.
- ☐ The APR consists of the following parts:
  - Cover sheet – General information on the Recipients.
  - Part I – Reporting on the One Year Plan (Table I and II).
  - Part II – Reporting on Program Year Accomplishments.
    - ⇒ Section A – Monitoring (Table III).
    - ⇒ Section B – Audits.
    - ⇒ Section C – Public Accountability.
    - ⇒ Section D – Jobs Created by NAHASDA.

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## **NOTES**

## ***Chapter 6: Submitting and Implementing the Plan***

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- ☐ The APR should:
  - Describe how IHBG funds were used.
  - Assess how uses relate to IHP goals.
  - Note accomplishments for planning and delivering programs.
  - Compare accomplishments to objectives and note reasons for any slippage.
  - Summarize comments from tribal members.
  - Describe any changes to be made.
- ☐ Unlike the review of the IHP, the requirements for the review of the APR are not as stringent.
  - Review of the APR establishes whether or not the recipient is progressing towards the goals and objectives that are stated in its IHP.
- ☐ The process for APR review is the same as that of an IHP – completed in 60 days of receipt.
- ☐ For a more detailed look at the requirements of the APR, see the APR training manual.

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## **NOTES**

## **LIST OF ATTACHMENTS**

### **Attachment 6-1: Grant Agreement Package**

- A. Grant Agreement Form – HUD 52734-B
- B. LOCCS Access Authorization Form – HUD 27054
- C. Direct Deposit Sign Up Form – SF 1199A
- D. General Depository Agreement Form – HUD 51999
- E. Certification Regarding Lobbying
- F. Guideform Assurance of Compliance with 24 CFR Section 50(h)
- G. Guideform Indian Preference Certification
- H. Drug-Free Workplace Certification – HUD 50070

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## **NOTES**



## **Attachment 6-1: Grant Agreement Package**



**Attachment 6-1A:**  
**Grant Agreement Form – HUD 52734-B**





# Funding Approval/Agreement

Native American Housing Assistance and Self-Determination  
Act of 1996 (Public Law 104-330)

Title I - Indian Housing Block Grant

Title VI - Federal Guarantees For Financing Tribal Housing Activities

U.S. Department of Housing  
and Urban Development  
Office of Native American Programs

1. Name of Recipient	3. Recipient's 9-digit Tax Identification No.	4. Reserved
2. Recipient's Complete Address	5. Program/Grant Number	6. Amount Approved IHBG Title VI Loan Guarantee

This Grant Agreement between the Department of Housing and Urban Development (HUD) and the above named Recipient is made pursuant to the authority of the Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA) (25 U.S.C. 4101 et seq.). The Recipient's submissions for NAHASDA assistance, the NAHASDA statute (as now in effect and as may be amended by Congress), the HUD regulations at 24 CFR Part 1000 (as now in effect and as may be amended from time to time), and this Funding Approval, including any special conditions, constitute the Agreement. Subject to the provisions of this Grant Agreement, HUD will make the funding assistance specified here available to the Recipient upon execution of the Agreement by the parties. The Indian Tribe has agreed to assume all of the responsibilities for environmental review, decision making, and actions as specified and required in regulations issued by the Secretary consistent with and pursuant to Section 105 of NAHASDA. (If the Indian Tribe did not agree to assume these responsibilities, these responsibilities are retained by HUD). The Recipient further acknowledges its responsibility for adherence to the Agreement by entities to which it makes funding assistance hereunder available.

U.S. Department of Housing and Urban Development				Recipient	
Name				Name	
Signature				Signature	
Title		Date (mm/dd/yyyy)		Title	
Date (mm/dd/yyyy)				Date (mm/dd/yyyy)	
7. Special conditions (check applicable box) a. <input type="checkbox"/> Not applicable b. <input type="checkbox"/> See attachment(s)		8a. Date HUD Received Submission (mm/dd/yyyy) 8b. Date Recipient Notified (mm/dd/yyyy) 8c. Date of Start of Program Year (mm/dd/yyyy)		9. (check one) a. <input type="checkbox"/> Orig. funding aprvl. b. <input type="checkbox"/> Amendment c. Amendment Number	
				10. Amount of Indian Housing Block Grant a. Funds Reserved for this Recipient b. Funds Now Being Approved c. Reservation to be Cancelled (a minus b)	

11. (This section is to be completed only if a Tribally Designated Housing Entity [TDHE] is the recipient of the loan guarantee but it is not the IHBG recipient)

11a. Name & Address of TDHE

## Loan Guarantee Acceptance Provisions for Tribally Designated Housing Entities (TDHE)

The Tribally Designated Housing Entity hereby accepts the Grant Agreement executed by the Department of Housing and Urban Development (HUD) on the above date with respect to the above program grant number(s) as Recipient designated to receive loan guarantee assistance, and agrees to comply with the terms and conditions of the Agreement, applicable regulations, and other requirements of HUD now or hereafter in effect, pertaining to the assistance provided it.

11b. Authorized Representative      Name \_\_\_\_\_  
Title \_\_\_\_\_  
Signature \_\_\_\_\_  
Date (mm/dd/yyyy) \_\_\_\_\_

## HUD Accounting Use Only (show all dates as mm/dd/yyyy)

Batch	TAC	Program	Y	A	Reg.	Area	Document No.	Project No.	Category	Amount	Effective Date
	153										
	176										
Date Entered PAS	Date Entered LOCCS	Batch Number	Transaction Code	Entered by	Verified by						



**Attachment 6-1B: LOCCS Access  
Authorization Form – HUD 27054**



# LOCCS Access Authorization Security Form for HUD Staff

U.S. Department of Housing  
and Urban Development

Line of Credit Control System (LOCCS)  
HI-00590R

See the Privacy Act statement on the back before completing this form

This form is used to request terminal access to Line of Credit Control System (LOCCS). For users who require other than a data query access, a Limited Background Investigation package, e.g., SF-85P(95 edition only), SF-87, and OF-306, must also be completed and submitted to the Employee Service Center in Chicago when submitting this form.

This form is to be completed by the LOCCS user and signed by both the Personnel Official and a LOCCS Access Authorizing Official. All entries are mandatory unless specifically not applicable. Print all information clearly.

**For new users, send the completed form to:**

**Employee Service Center  
77 West Jackson Blvd., 22nd floor  
Chicago, IL 60604-3507**

All other users may forward the forms directly to:

**U.S. Department of Housing  
and Urban Development  
Chief Financial Officer, FYM  
P.O. Box 23774  
Washington, DC 20026-3774**

1. Type of Action (mark one) <input type="checkbox"/> New User <input type="checkbox"/> Reinstate User <input type="checkbox"/> Terminate User <input type="checkbox"/> Add new Program Area <input type="checkbox"/> Change Program Area or Address		2. Type of User (mark one) <input type="checkbox"/> RAD <input type="checkbox"/> RO <input type="checkbox"/> FO <input type="checkbox"/> OFA <input type="checkbox"/> OSS <input type="checkbox"/> ACH <input type="checkbox"/> HQ		3. Region (2 digits)	4. Field Office (2 digits)	5. User ID (unless you're a new user)
6. User's Last Name		User's First Name		Middle Initial		7. User's Social Security Number
8. User's Office Street Address						9. Office Phone No.(include area code & extension)
City		State	Zip Code		10. Office Correspondence Code	

11. User's Signature

12. Access Requested (Skip this part if the Type of User code is "HAO," ACH," or "OSS.")

Program Area	Query	For CFO Use Only			Field Office Admin.	HQ Admin.
		Payment Banking Cntrl DE	Voucher Entry	Verify		

**14. LOCCS Access Authorizing Official:** Mandatory data. Printed name, social security number, title, phone number, and signature of the LOCCS Access Authorizing Official. The approving official should be the supervisor or higher level of manager of the person cited on line 6. **The LOCCS Access Authorizing Official must file a Limited Background Investigation package, e.g., SF-85P (95 edition only), SF-87, and OF-306.**

LOCCS Access Authorizing Official

Name of Supervisor or Line Manager

Social Security Number

Title

Phone Number

Address

Supervisor or Line Manager's Signature

Date (mm/dd/yyyy)

13. Personnel Office Certification for User

**I certify that:**

☐ NACI completed (date-mm/dd/yyyy) \_\_\_\_\_ is on file.

☐ A Limited Background Investigation package, e.g., SF-85P (95 edition only), SF-87, and OF-306, was submitted to the Personnel Security Branch on (date-mm/dd/yyyy) \_\_\_\_\_

Personnel Official's Title

Phone Number

Personnel Official's Signature

Date (mm/dd/yyyy)

13a. Personnel Office Certification for Approving Official

**I certify that:**

☐ NACI completed (date-mm/dd/yyyy) \_\_\_\_\_ is on file.

☐ A Limited Background Investigation package, e.g., SF-85P (95 edition only), SF-87, and OF-306, was submitted to the Personnel Security Branch on (date-mm/dd/yyyy) \_\_\_\_\_

Personnel Official's Title

Phone Number

Personnel Official's Signature

Date (mm/dd/yyyy)

**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Previous editions are obsolete

form HUD-27054-A (2/2000)



**Attachment 6-1C:  
Direct Deposit Sign Up Form – SF 1199A**





### DIRECTIONS

- To sign up for direct deposit, the payee is to read the back of this form and fill in the information requested in Sections 1 and 2. Then take or mail this form to the financial institution. The financial institution will verify the information in Sections 1 and 2, and will complete Section 3. The completed form will be returned to the Government agency identified below.
- A separate form must be completed for each type of payment to be sent by Direct Deposit.
- The claim number and type of payment are printed on Government checks. (See the sample check on the back of this form.) This information is also stated on beneficiary/annuitant award letters and other documents from the Government agency.
- Payees must keep the Government agency informed of any address changes in order to receive important information about benefits and to remain qualified for payments.

<b>A</b> NAME OF PAYEE <i>(last, first, middle initial)</i>		<b>D</b> TYPE OF DEPOSITOR ACCOUNT <input type="checkbox"/> CHECKING <input type="checkbox"/> SAVINGS	
ADDRESS <i>(street, route, P.O. Box, APO/FPO)</i>		<b>E</b> DEPOSITOR ACCOUNT NUMBER <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px;"></div>	
CITY	STATE	ZIP CODE	
TELEPHONE NUMBER AREA CODE		<b>F</b> TYPE OF PAYMENT <i>(Check only one)</i> <input type="checkbox"/> Social Security <input type="checkbox"/> Fed Salary/Mil. Civilian Pay <input type="checkbox"/> Supplemental Security Income <input type="checkbox"/> Mil. Active _____ <input type="checkbox"/> Railroad Retirement <input type="checkbox"/> Mil. Retire. _____ <input type="checkbox"/> Civil Service Retirement (OPM) <input type="checkbox"/> Mil. Survivor _____ <input type="checkbox"/> VA Compensation or Pension <input type="checkbox"/> Other _____ <i>(specify)</i>	
<b>B</b> NAME OF PERSON(S) ENTITLED TO PAYMENT		<b>G</b> THIS BOX FOR ALLOTMENT OF PAYMENT ONLY <i>(if applicable)</i>	
<b>C</b> CLAIM OR PAYROLL ID NUMBER  Prefix _____ Suffix _____		TYPE	AMOUNT
<b>PAYEE/JOINT PAYEE CERTIFICATION</b>  I certify that I am entitled to the payment identified above, and that I have read and understood the back of this form. In signing this form I authorize my payment to be sent to the financial institution named below to be deposited to the designated account.		<b>JOINT ACCOUNT HOLDERS' CERTIFICATION</b> <i>(optional)</i>  I certify that I have read and understood the back of this form, including the SPECIAL NOTICE TO JOINT ACCOUNT HOLDERS.	
SIGNATURE		DATE	
SIGNATURE		DATE	

GOVERNMENT AGENCY NAME	GOVERNMENT AGENCY ADDRESS
------------------------	---------------------------

NAME AND ADDRESS OF FINANCIAL INSTITUTION		ROUTING NUMBER		CHECK DIGIT	
		<div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div>		<div> <div></div> </div>	
		DEPOSITOR ACCOUNT TITLE			
<p align="center"><b>FINANCIAL INSTITUTION CERTIFICATION</b></p> <p>I confirm the identity of the above-named payee(s) and the account number and title. As representative of the above-named financial institution, I certify that the financial institution agrees to receive and deposit the payment identified above in accordance with 31 CFR Parts 240, 209, and 210.</p>					
PRINT OR TYPE REPRESENTATIVE'S NAME	SIGNATURE OF REPRESENTATIVE		TELEPHONE NUMBER		DATE

**THE FINANCIAL INSTITUTION SHOULD MAIL THE COMPLETED FORM TO THE GOVERNMENT AGENCY IDENTIFIED ABOVE.**

### BURDEN ESTIMATE STATEMENT

The estimated average burden associated with this collection of information is 10 minutes per respondent or record-keeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to the Financial Management Service, Facilities Management Division, Property & Supply Section, Room B-101, 3700 East-West Highway, Hyattsville, MD 20782 or the Office of Management and Budget, Paperwork Reduction Project (1510-0007), Washington, D.C. 20503.

### PLEASE READ THIS CAREFULLY

All information on this form, including the individual claim number, is required under 31 USC 3322, 31 CFR 209 and/or 210. The information is confidential and is needed to prove entitlement to payments. The information will be used to process payment data from the Federal agency to the financial institution and/or its agent. Failure to provide the requested information may affect the processing of this form and may delay or prevent the receipt of payments through the Direct Deposit/Electronic Funds Transfer Program.

### INFORMATION FOUND ON CHECKS

Most of the information needed to complete boxes A, C, and F in Section 1 is printed on your government check:

- (A) Be sure that the payee's name is written exactly as it appears on the check. Be sure current address is shown.
- (C) Claim numbers and suffixes are printed here on checks beneath the date for the type of payment shown here. Check the Green Book for the location of prefixes and suffixes for other types of payments.
- (F) Type of payment is printed to the left of the amount.

United States Treasury <sup>15-51</sup>/<sub>100</sub>

Month Day Year  
08 31 84

AUSTIN, TEXAS

Check No.  
0000 - 4157815

Pay to the order of  
JOHN DOE  
123 BRISTOL STREET  
HAWKINS BRANCH, TX 76543

29-693-775 00 C

28 28  
VA COMP

DOLLARS CTS  
\$ 100 00

NOT NEGOTIABLE

⑆00000051⑆ 041571926⑆

### SPECIAL NOTICE TO JOINT ACCOUNT HOLDERS

Joint account holders should immediately advise both the Government agency and the financial institution of the death of a beneficiary. Funds deposited after the date of death or ineligibility, except for salary payments, are to be returned to the Government agency. The Government agency will then make a determination regarding survivor rights, calculate survivor benefit payments, if any, and begin payments.

### CANCELLATION

The agreement represented by this authorization remains in effect until canceled by the recipient by notice to the Federal agency or by the death or legal incapacity of the recipient. Upon cancellation by the recipient, the recipient should notify the receiving financial institution that he/she is doing so.

The agreement represented by this authorization may be cancelled by the financial institution by providing the recipient a written notice 30 days in advance of the cancellation date. The recipient must immediately advise the Federal agency if the authorization is cancelled by the financial institution. The financial institution cannot cancel the authorization by advice to the Government agency.

### CHANGING RECEIVING FINANCIAL INSTITUTIONS

The payee's Direct Deposit will continue to be received by the selected financial institution until the Government agency is notified by the payee that the payee wishes to change the financial institution receiving the Direct Deposit. To effect this change, the payee will complete the new SF 1199A at the newly selected financial institution. It is recommended that the payee maintain accounts at both financial institutions until the transition is complete, i.e. after the new financial institution receives the payee's Direct Deposit payment.

### FALSE STATEMENTS OR FRAUDULENT CLAIMS

Federal law provides a fine of not more than \$10,000 or imprisonment for not more than five (5) years or both for presenting a false statement or making a fraudulent claim.

**Attachment 6-1D: General Depository  
Agreement Form – HUD 51999**



# General Depository Agreement

U.S. Department of Housing  
and Urban Development  
Office of Public and Indian Housing

This Agreement, entered into this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_ by and between \_\_\_\_\_

(herein called the "PHA/IHA"), a duly organized and existing public body corporate and politic of the \_\_\_\_\_

\_\_\_\_\_ of \_\_\_\_\_

and \_\_\_\_\_

(herein called the "Depository"), located at \_\_\_\_\_

## Witnesseth:

**Whereas**, the Department of Housing and Urban Development (herein called "HUD") has entered into one or more contracts (herein called the "Contract") with the PHA/IHA for the purpose of providing financial assistance to develop and operate lower income housing projects, as authorized by the United States Housing Act of 1937, as amended (42 USC 1437, et seq.); and

**Whereas**, under the terms of the Contract the PHA/IHA is required to select as depositories of its funds financial institutions whose deposits or accounts are insured by either — the Federal Deposit Insurance Corporation or the National Credit Union Share Insurance Fund as long as this Agreement is in force and effect.

**Now Therefore**, in consideration of the mutual covenants herein-after set forth, the parties hereto agree as follows:

1. The deposits and accounts of the Depository shall continue to be insured by either — the Federal Deposit Insurance Corporation or the National Credit Union Share Insurance Fund.

2. All monies deposited by the PHA/IHA with the Depository shall be credited to the PHA/IHA in a separate interest bearing deposit or interest bearing accounts, designated

Accounts" (herein the "Accounts"). Any portion of PHA/IHA Funds not insured by a Federal insurance organization shall be fully (100%) and continuously collateralized with specific and identifiable U.S. Government or Agency securities prescribed by HUD. Such securities shall be pledged and set aside in accordance with applicable law or Federal regulations. The PHA/IHA shall have possession of the securities (or the PHA/IHA will take possession of the securities) or an independent custodian (or an independent third party) holds the securities on behalf of the PHA/IHA as a bailee (evidenced by safe keeping receipt and a written bailment for hire contract) and will be maintained for the full term of deposit. The Depository may substitute other securities as collateral to equal or increase the value. If PHA/IHA is an agency of an Indian tribe, the collateral shall be in United States bonds and otherwise as may be prescribed for public funds by the United States Secretary of the Treasury.

3. Except as stated in Paragraph 5, the Depository shall honor any (a) check or other order to pay from the Accounts, or (b) directive to purchase investment securities with monies from the Accounts or to sell securities, if such order or directive is in

writing and signed on behalf of the PHA/IHA by an officer or member designated by resolution of the Board of Directors of the PHA/IHA to have such authority. To assist the Depository in its obligation, the PHA/IHA shall furnish the Depository with a certified copy of the resolution.

4. Any securities received from the PHA/IHA or purchased by the Depository with monies from the Accounts shall be considered to be a part of the Accounts and shall be held by the Depository in safe-keeping for the PHA/IHA until sold. Interest on such securities and the proceeds from the sale thereof shall be deposited in the Account upon receipt.

5. If the Depository received written notice from HUD that no withdrawals by the PHA/IHA from the Accounts are to be permitted, the Depository shall not honor any check or other order to pay from the Accounts or directive to purchase or sell securities, or permit any withdrawals by the PHA/IHA from said Accounts until the Depository is authorized to do so by written notice from HUD.

6. The Depository is not obligated to be familiar, and shall not be charged, with knowledge of the provisions of the Contract, and shall be under no duty to investigate or determine whether any action taken by either the PHA/IHA or HUD in respect of the Accounts are consistent with or are authorized by the Contract or whether either PHA/IHA or HUD is in default under the provisions of the Contract. The Depository shall be fully justified in accepting and acting on, without investigation, any certificate or notice furnished to it pursuant to the provisions of this Agreement and which the Depository shall in good faith believe to have been duly authorized and executed on behalf of the party in whose name the same purports to have been made or executed.

7. The rights and duties of the Depository under this Agreement shall not be transferred or assigned by the Depository without the prior written approval of the PHA/IHA and HUD.

This Agreement may be terminated by either party hereto upon thirty days' written notice to the other party, and HUD. The rights and duties of the Depository hereunder shall not be transferred or assigned nor shall this Agreement be terminated during any period in which the Depository is required to refuse to permit withdrawals from the Accounts as provided in Paragraph 5.

8. HUD is intended to be a third party beneficiary of this Agreement and may sue to enforce its provisions and to recover damages for failure to carry out its terms.

9. The Depository shall promptly notify the PHA/IHA of crediting or depositing of any monies in the Accounts.

10. The provisions of this Agreement may not be modified by either Party without the prior written approval of HUD.

11. Previous General Depository or Savings Depository Agreements, if any, entered into between the Depository and the PHA/IHA are hereby terminated and all monies and securities of the PHA/IHA on deposit with or held by the Depositories pursuant to the terms of said Agreement shall continue to be held for account of the PHA/IHA pursuant to and in accordance with the provisions of this Agreement.

12. At no time shall the PHA/IHA Funds in the Accounts be permitted to exceed the amount insured by Federal deposit insurance (herein the "Insured Amount"). At any such time as the amount of funds in the Accounts reach the Insured Amount, whether by the accrual of interest or otherwise, the Depository shall promptly, as directed by the PHA/IHA, and in an amount sufficient to limit the funds in the Accounts to the Insured Amount, either: (a) remit payment to the PHA/IHA or, (b) on behalf of the PHA/IHA, purchase securities approved for

investment by the PHA/IHA. Such securities shall not be considered to be a part of the Account pursuant to Paragraph 4 hereof but shall be held by the Depository as custodian or trustee for the PHA/IHA in a separate account established for that purpose by the Depository (herein the "Securities Account"). The Securities Account shall be designated:

Income or other proceeds from securities held in the Securities Account shall, as directed by the PHA/IHA, upon receipt, be paid to or on behalf of the PHA/IHA; provided, however, that such proceeds shall, to the extent consistent otherwise with the provisions of this Paragraph, be deposited in the Accounts. If the Depository receives written notice from HUD pursuant to Paragraph 5 hereof that no withdrawals by the PHA/IHA from the Accounts are to be permitted, the Depository shall not honor any directive from the PHA/IHA to sell securities, or permit any withdrawals by the PHA/IHA, from the Securities Account until the Depository is authorized to do so by written notice from HUD. During the pendency of such restrictions on the Accounts and the Securities Account, the Depository, except as directed in writing by HUD, shall not remit any payment to the PHA/IHA for the purpose of limiting the amount of funds in the Account to the Insured Amount but shall instead purchase securities approved for investment by the PHA/IHA and hold such securities in the Securities Account.

( For use only in certain States that have statutes that prohibit Public Housing Agencies and Indian Housing Authorities from implementing paragraph 2.)

**In Witness Whereof**, the PHA/IHA and the Depository have caused this Agreement to be executed in their respective names and their respective seal to be impressed hereon and attested as of the date and year first above written.

(SEAL)  
ATTEST:  
By \_\_\_\_\_

\_\_\_\_\_  
Secretary

(SEAL)  
ATTEST:

**Note:** Strike paragraphs 11 and 12 if not applicable.

\_\_\_\_\_  
PHA/IHA

\_\_\_\_\_  
Chairman

\_\_\_\_\_  
Depository

By \_\_\_\_\_

**Attachment 6-1E:**  
**Certification Regarding Lobbying**





## CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form -LLL, "Disclosure Form to Report (Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**Name & Title** (type or print)

---

**Signature & Date**

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*This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.*



**Attachment 6-1F: Guideform Assurance of  
Compliance with 24 CFR Section 50(h)**



**GUIDEFORM**  
**ASSURANCE OF COMPLIANCE WITH 24 CFR 50 (h)**

The undersigned agrees to assist the Department of Housing and Urban Development (HUD) to comply with the requirements of 24 CFR part 50 - Protection and Enhancement of Environmental Quality with respect to the projects or activities included in Program Number \_\_\_\_\_.

As part of this assistance, the Indian tribe, or Tribally Designated Housing Entity on its behalf, shall:

- (1) Supply HUD with all available, relevant information necessary for HUD to perform for each property any environmental review required by 24 CFR part 50;
- (2) Carry out mitigating measures required by HUD or select an alternative property; and,
- (3) Not acquire, rehabilitate, convert, lease, repair or construct property, nor commit local funds for these program activities with respect to any eligible property, until HUD approval of the property is received.

**NAME & TITLE** (type or print)

\_\_\_\_\_

—

**SIGNATURE & DATE**

\_\_\_\_\_



**Attachment 6-1G:  
Guideform Indian Preference Certification**





**GUIDEFORM  
INDIAN PREFERENCE  
CERTIFICATION**

To the greatest extent feasible, recipients shall give preference in the award of contracts for projects funded under the Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA) to Indian organizations and Indian-owned economic enterprises.

The undersigned certifies, to the best of his or her knowledge and belief, that the policies and procedures adopted by the

---

(tribe or tribally designated housing entity)

will provide preference in procurement activities consistent with the requirements of section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 405e(b)). (An Indian preference policy which was previously approved by HUD for a recipient will meet the requirements of Section 7(b)).

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**Name & Title** (type or print)

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**Signature & Date**

**note:** If the recipient has not adopted policies and procedures and therefore cannot execute this certification, the procedures set forth in 24 CFR 1000.52(a)(2) or (3) must be followed.



**Attachment 6-1H: Drug-Free Workplace  
Certification – HUD 50070**



# Certification for a Drug-Free Workplace

U.S. Department of Housing  
and Urban Development

Applicant Name \_\_\_\_\_

Program/Activity Receiving Federal Grant Funding \_\_\_\_\_

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federalagency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

**2. Sites for Work Performance.** The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here ☐ if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.  
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official \_\_\_\_\_

Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

X